

**SECURITIES AND FUTURES ACT  
(Cap. 289)**

**FINANCIAL ADVISERS ACT  
(Cap. 110)**

FORM

**YY**

**NOTIFICATION FOR CHANGE IN PARTICULARS TO ARRANGEMENTS WITH FOREIGN RELATED CORPORATIONS UNDER THE SECURITIES AND FUTURES (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS AND/OR FINANCIAL ADVISERS (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS**

**NOTIFICATION FOR CHANGE IN PARTICULARS TO ARRANGEMENTS WITH FOREIGN OFFICES UNDER THE SECURITIES AND FUTURES (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS AND/OR FINANCIAL ADVISERS (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS**

<b>Name of Company as previously submitted to the Authority</b>	<i>[Free Text]</i>
<b>Company Registration Number (UEN)</b>	<i>[Free Text]</i>

**SECTION 1: NOTICE OF CHANGES TO PREVIOUSLY NOTIFIED ARRANGEMENT(S)**

1.1 Provide the information in Annex A if you are notifying the Authority of changes to previously notified arrangement(s). Click [here](#) to go to Annex A.

**SECTION 2: DECLARATIONS**

**The Declaration must be signed by a director of the Singapore Entity.**

2.1 We declare that:

- We are fully aware that sections 329(3) and (4) of the SFA provide as follows:

“(3) ANY PERSON WHO -  
(a) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR  
(b) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY, SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.  
(4) ANY PERSON WHO CONTRAVENES SUBSECTION (1) OR (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.”

- We are fully aware that sections 86(1), (3) and (4) of the FAA provide as follows:

“(1) ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER OR FOR THE PURPOSES OF ANY PROVISION OF THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.  
(3) ANY PERSON WHO -  
(a) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR  
(b) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY, SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.”

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(4) ANY PERSON WHO CONTRAVENES SUBSECTION (1) OR (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$25,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.”

We declare that all information provided in this notification and in the attached annexes (if any) is true and correct.

Signature : \_\_\_\_\_

Name : [Free Text]

Designation : [Free Text]

Date : Click or tap to enter a date.

## ANNEX A: CHANGES TO PREVIOUSLY NOTIFIED ARRANGEMENT(S)

Complete a separate Annex A for each cross-border arrangement.

1. Provide information on the cross-border arrangement as previously notified to the Authority.

Name of Arrangement/ Business Unit Conducting the Arrangement as Previously Submitted to the Authority	Date of Commencement of Arrangement as Previously Submitted to the Authority
[Free Text]	Click or tap to enter a date.

2.  Please check this box if the entire Arrangement is being ceased or discontinued, and the Business Unit under the cross-border arrangement will no longer be carrying out any regulated activities.

Reason for Cessation/ Discontinuation of Arrangement	Date of Cessation/ Discontinuation of Arrangement
[Free Text]	Click or tap to enter a date.

3.  Please check this box if there are changes to the name of the Arrangement/ Business Unit conducting the cross-border arrangement.

New Name of Arrangement/ Business Unit Conducting the Arrangement	Effective Date of Change
[Free Text]	Click or tap to enter a date.

4.  Please check this box for the addition/ cessation of regulated activities involved under the cross-border arrangement.

Name of FRC/ Foreign Office as Previously Notified to the Authority	Addition/ Cessation of Regulated Activity/Activities under the Arrangement	Regulated Activity/Activities Added/ Ceased under the Arrangement	Effective Date of Addition/ Cessation of Regulated Activity/Activities
[Free Text]	[Drop-down list]	[Drop-down list]	Click or tap to enter a date.

5.  Please check this box if there are changes to the FRC(s) or Foreign Office(s) involved in the cross-border arrangement, from what was previously notified to the Authority.

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5.1.  Please check this box if there are changes to the name of the FRC(s) or Foreign Office(s).

Name of FRC or Foreign Office as Previously Submitted to the Authority	New Name of FRC or Foreign Office	Effective Date of Change in Name
[Free Text]	[Free Text]	Click or tap to enter a date.

5.2.  Please check this box if there are FRCs or Foreign Offices that have ceased to conduct regulated activities under the Arrangement.

Name of FRC or Foreign Office as Previously Submitted to the Authority	Rationale for Cessation	Effective Date of Cessation
[Free Text]	[Free Text]	Click or tap to enter a date.

6.  Please check this box if there are additions to the FRCs or Foreign Office(s) involved in the cross-border arrangement, from what was previously notified to the Authority.

6.1. Provide information on each new FRC or Foreign Office involved in the cross-border arrangement.

Name of FRC or Foreign Office	Country of Incorporation/ Registration	Nature of Business	Name of Regulatory Authority/ Exchange	Regulatory Status	Date of Status	Regulated Activities the FRC or Foreign Office will Conduct
[Free Text]	[Drop-down list]	[Free Text]	[Drop-down list]	[Free Text]	Click or tap to enter a date.	[Drop-down list.]

6.2. Provide the group shareholding chart that shows the Singapore Entity and all the FRCs.

Attached

Remarks (if any):

[Free Text]
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6.3. The Singapore Entity has:

- assessed that there will be no conflict of interests that may arise from the arrangement. The Singapore Entity will also have in place measures to address potential conflicts of interests should they arise in the future.
- assessed that there will be conflict of interests that may arise from the arrangement but will put in place measures to address them.

Explain the measures the Singapore Entity has or will have in place to mitigate the potential conflict of interests.

*[Free Text]*

7.  Please check this box if there are changes to the process chain of previously notified arrangement(s).

- Regulated activities of dealing in capital markets products, product financing and providing custodial services under the SFA.
- Regulated activity of advising on corporate finance under the SFA.
- Regulated activity of fund management under the SFA.
- Financial advisory service of advising on investment products under the FAA.
- Financial advisory service of arranging of contracts of insurance in respect of life insurance under the FAA.

<b>Dealing in capital markets products, product financing and providing custodial services under the SFA</b>	
<b>Functions</b>	<b>Where the function is performed</b>
<ul style="list-style-type: none"> <li>• Account Opening</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>

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<ul style="list-style-type: none"><li>• Order Placement</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>• Trade Execution</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>• Trade Confirmation</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>• Trade Settlement</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p>

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	<p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>Marketing/ Client Servicing</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>Product Financing</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>Custodial Services</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>



<b>Advising on corporate finance under the SFA</b>	
<b>Functions</b>	<b>Where the function is performed</b>
<ul style="list-style-type: none"> <li>Account Opening</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>Signing of Mandate</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>Mandate Execution</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>Marketing/ Client Servicing</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p>

	Click or tap here to enter text.
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<b>Fund management under the SFA</b>	
<b>Functions</b>	<b>Where the function is performed</b>
<ul style="list-style-type: none"> <li>• Signing of Mandate</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>• Management of Funds</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>• Marketing/ Client Servicing</li> </ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local      <input type="checkbox"/> Foreign      <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> <li>• Custodial Services</li> </ul>	<p><u>Performed by:</u></p>

	<input type="checkbox"/> Local (by an Independent Custodian) <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign  <u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u>  Click or tap here to enter text.
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<b>Financial advisory service of advising on investment products under the FAA</b>	
<b>Functions</b>	<b>Where the function is performed</b>
<ul style="list-style-type: none"> <li>Prospecting</li> </ul>	<p><u>Performed by:</u></p> <input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign  <u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u>  Click or tap here to enter text.
<ul style="list-style-type: none"> <li>Advisory</li> </ul>	<p><u>Performed by:</u></p> <input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign  <u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u>  Click or tap here to enter text.

<b>Financial advisory service of arranging of contracts of insurance in respect of life insurance under the FAA</b>	
<b>Functions</b>	<b>Where the function is performed</b>
<ul style="list-style-type: none"> <li>Completing Proposal Form</li> </ul>	<p><u>Performed by:</u></p>

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	<p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>• Placing Orders with Insurance Company</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"><li>• Client Servicing</li></ul>	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local    <input type="checkbox"/> Foreign    <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>