

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

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

FORM

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ANNUAL DECLARATION FOR 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

ANNUAL DECLARATION FOR 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

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

SECTION 1: INFORMATION SUBMITTED AS AT FINANCIAL YEAR

1.1 The information is submitted as at financial year ended: [Click or tap to enter a date.](#)

SECTION 2: INFORMATION ON ARRANGEMENT(S)

2.1 Provide information in Annex A on each notified cross-border arrangement. Click [here](#) to go to Annex A.

SECTION 3: CERTIFICATION BY INDEPENDENT ASSURANCE FUNCTION

3.1 The certification for the financial year ended xx, in respect of the Singapore Entity's notified arrangement(s), that the Singapore Entity has complied with the applicable requirements¹ is provided by:

¹ The requirements are prescribed under:

- (i) regulation 5 of the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- (ii) regulation 5 of Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- (iii) regulation 5 of the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
- (iv) regulation 5 of Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
- (v) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- (vi) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- (vii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Holders of a Capital Markets Services Licence and Specified Exempt Persons;
- (viii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Licensed Financial Advisers and Specified Exempt Persons;
- (ix) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
- (x) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;

- Internal Auditor, Name and Designation of Internal Auditor: *[Free Text]*
- External Auditor, Name of External Auditor: *[Free Text]*, Name of Partner-in-charge: *[Free Text]*
- Others, please specify: *[Free Text]*

Please attach the certification below.

- Attached

SECTION 4: DECLARATIONS

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

4.1 We declare that:

- We are not aware of any material adverse information relating to the notified arrangements under section/para xx? that would impact the Singapore Entity. Where there is any material adverse information, we have informed the Authority accordingly.
- 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.

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- (xi) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Holders of a Capital Markets Services Licence and Specified Exempt Persons (Foreign Offices); and
 - (xii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing Terrorism – Licensed Financial Advisers and Specified Exempt Persons (Foreign Offices).

(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.

(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 declaration 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: INFORMATION OF THE CROSS-BORDER ARRANGEMENT

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

1. Information of 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.

- 1.1. Information in respect of the Singapore Entity as at financial year end

Total number of representatives carrying out regulated activities under the Arrangement	Revenue generated from the activities of the Arrangement (S\$)
[Free Text]	[Free Text]

- 1.2. Information in respect of FRC(s) or Foreign Office(s) as at financial year end

Total number of customers under the Arrangement ²	[Free Text]	
Name of FRC or Foreign Office	Total number of representatives carrying out regulated activities under the Arrangement	Revenue generated from the activities under the Arrangement (S\$)
[Free Text]	[Free Text]	[Free Text]

² "Customer" as defined under Section 2 of the Securities and Futures Act. For the purpose of this annual declaration form, it refers to a customer who has made at least one transaction during the company's financial year for all regulated activities except advising on corporate finance. As for the regulated activity of advising on corporate finance, it should include all corporate customers that the company has mandates with, or are acting as retainers for, during the company's financial year. Please take note that a customer who is being serviced in more than one regulated activity by the company is to be taken into account only once.

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2. Information on the specific regulated activities being carried out by the representatives under the cross-border arrangement as at financial year end

Regulated Activities	Total number of representatives carrying out regulated activities under the Arrangement	
	Singapore Entity	FRC(s) or Foreign Office(s)
(i) Dealing in capital markets products that are:	[Free Text]	[Free Text]
(a) securities	[Free Text]	[Free Text]
(b) units in a collective investment scheme	[Free Text]	[Free Text]
(c) exchange-traded derivatives contracts	[Free Text]	[Free Text]
(d) over-the-counter derivatives contracts	[Free Text]	[Free Text]
(e) spot foreign exchange for the purposes of leveraged foreign exchange trading	[Free Text]	[Free Text]
(ii) Fund management	[Free Text]	[Free Text]
(iii) Real estate investment management	[Free Text]	[Free Text]
(iv) Advising on corporate finance	[Free Text]	[Free Text]
(v) Providing credit rating agencies	[Free Text]	[Free Text]
(vi) Advising on investment products that are	[Free Text]	[Free Text]
(a) securities	[Free Text]	[Free Text]
(b) units in a collective investment scheme	[Free Text]	[Free Text]
(c) exchange-traded derivatives contracts	[Free Text]	[Free Text]
(d) over-the-counter derivatives contracts	[Free Text]	[Free Text]
(e) spot foreign exchange for the purposes of leveraged foreign exchange trading	[Free Text]	[Free Text]

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(f) spot foreign exchange contracts other than for the purposes of leveraged foreign exchange trading	[Free Text]	[Free Text]
(g) life policies	[Free Text]	[Free Text]
(h) structured deposits	[Free Text]	[Free Text]
(vii) Arranging of any contract on insurance in respect of life policies, other than a contract of reinsurance	[Free Text]	[Free Text]

3. Information in respect of the regulated activity/activities as at financial year end

- 3.1. Regulated activities of dealing in capital markets products, advising on corporate finance, product financing and providing custodial services under the SFA

Regulated Activity	No. of Customers³	Revenue generated from the activities of the Arrangement (S\$)
(i) Dealing in capital markets products that are:		
(a) securities	[Free Text]	[Free Text]
(b) units in a collective investment scheme	[Free Text]	[Free Text]
(c) exchange-traded derivatives contracts	[Free Text]	[Free Text]

³ "Customer" as defined under Section 2 of the Securities and Futures Act. For the purpose of this annual declaration form, it refers to a customer who has made at least one transaction during the company's financial year for all regulated activities except advising on corporate finance. As for the regulated activity of advising on corporate finance, it should include all corporate customers that the company has mandates with, or are acting as retainers for, during the company's financial year.

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(d) over-the-counter derivatives contracts	[Free Text]	[Free Text]
(e) spot foreign exchange contracts for the purposes of leveraged foreign exchange trading	[Free Text]	[Free Text]
(ii) Advising on corporate finance	[Free Text]	[Free Text]
(iii) Product financing	[Free Text]	[Free Text]
(iv) Providing custodial services	[Free Text]	[Free Text]
Grand Total⁴	[Free Text]	[Free Text]

3.2. Regulated activity of fund management under the SFA

Customer Type	No. of Customers	AUM Managed, Advised, and/or Contracted by FRC(s) or Foreign Office(s) as part of the Arrangement (\$)
Accredited Investors	[Free Text]	[Free Text]
Institutional Investors	[Free Text]	[Free Text]
Expert Investors	[Free Text]	[Free Text]

⁴ Please take note that a customer who is being serviced in more than one regulated activity by the company is to be taken into account only once for the purpose of computing "Grand Total".

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3.3. Financial advisory service of advising on investment products under the FAA

Regulated Activity	No. of Customers ⁵	Estimated Gross Revenue ⁶ received from the sale of investment products
(i) Advising on investment products that are:		
(a) securities	<i>[Free Text]</i>	<i>[Free Text]</i>
(b) units in a collective investment scheme	<i>[Free Text]</i>	<i>[Free Text]</i>
(c) exchange-traded derivatives contracts	<i>[Free Text]</i>	<i>[Free Text]</i>
(d) over-the-counter derivatives contracts	<i>[Free Text]</i>	<i>[Free Text]</i>
(e) spot foreign exchange contracts for the purposes of leveraged foreign exchange trading	<i>[Free Text]</i>	<i>[Free Text]</i>
(f) spot foreign exchange contracts other than for the purposes of	<i>[Free Text]</i>	<i>[Free Text]</i>

⁵ "Customer" is as defined under Section 2 of the Securities and Futures Act. For the purpose of this annual declaration form, it refers to a customer who has made at least one transaction during the company's financial year.

⁶ The gross revenue for a specific year should include revenue generated in that year and recurring revenue that the FA continues to earn from past years.

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leveraged foreign exchange trading		
(g) life policies	<i>[Free Text]</i>	<i>[Free Text]</i>
(h) structured deposits	<i>[Free Text]</i>	<i>[Free Text]</i>
Grand Total⁷	<i>[Free Text]</i>	<i>[Free Text]</i>

⁷ Please take note that a customer who is being serviced in more than one regulated activity by the company is to be taken into account only once for the purpose of computing "Grand Total".