

SECURITIES AND FUTURES ACT 2001

FINANCIAL ADVISERS ACT 2001

FORM

FN

NOTIFICATION FOR ARRANGEMENTS WITH FOREIGN RELATED CORPORATIONS UNDER THE SECURITIES AND FUTURES (EXEMPTION FOR CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS 2021 AND/OR FINANCIAL ADVISERS (EXEMPTION FOR CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS 2021

NOTIFICATION FOR ARRANGEMENTS WITH FOREIGN OFFICES UNDER THE SECURITIES AND FUTURES (EXEMPTION FOR CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS 2021 AND/OR FINANCIAL ADVISERS (EXEMPTION FOR CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS 2021

Name of Company as previously submitted to the Authority, or as per ACRA's records if no previous submission has been made

[Free Text]

Company Registration Number (UEN)

[Free Text]

Explanatory Notes

Please note that this Form is **for reference only**. The Form should be completed and lodged online via [FormSG](#).

Notification of Arrangements under

- Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021;**
- Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021;**
- Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021; and/or**
- Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021.**

This notification is in respect of a cross-border arrangement that was approved prior to 9 October 2021 under

- Paragraph 9 of the Third Schedule to the Securities and Futures Act 2001 (SFA); and/or**
- Paragraph 11 of the First Schedule to the Financial Advisers Act 2001 (FAA).**

SECTION 1: INFORMATION ON THE SINGAPORE ENTITY

1.1 The Singapore Entity is:

- licensed under section 82(1) of the SFA, excluding persons licensed to conduct the regulated activity of fund management solely in respect of the management of portfolios of specified products on behalf of venture capital funds as defined in the Securities and Futures (Licensing and Conduct of Business) Regulations (SF(LCB)R);
- licensed under section 6(1) of the FAA;
- exempted under section 99(1)(a), (b), (c) or (d) of the SFA;
- exempted under paragraphs 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the SF(LCB)R; and/or
- exempted under section 20 (other than subsection (1)(f) and (g)) of the FAA.

SECTION 2: ARRANGEMENT(S) BETWEEN THE SINGAPORE ENTITY AND FOREIGN RELATED CORPORATION(S) (FRC) OR FOREIGN OFFICE(S)

2.1 Provide information in Annex on each cross-border arrangement. A separate Annex should be completed for each arrangement. Click [here](#) to access the Annex.

SECTION 3: SHAREHOLDING STRUCTURE (FOR ARRANGEMENT(S) WITH FRC(S) ONLY)

3.1 Provide the group shareholding chart that includes the Singapore Entity and all the FRCs.

Remarks (if any):

[Free Text]

SECTION 4: CONFLICTS OF INTEREST

4.1 The Singapore Entity has:

- assessed that there are currently no conflicts of interest arising from the arrangement(s). On an ongoing basis, the Singapore Entity will implement measures to identify and address potential conflicts of interest that may arise.
- assessed that there will be conflicts of interest that may arise from the arrangement(s) but will put in place measures to address them. On an ongoing basis, the Singapore Entity will implement measures to identify and address potential conflicts of interest that may arise.

Explain the measures the Singapore Entity has or will have in place to mitigate the existing or potential conflicts of interest.

[Free Text]

SECTION 5: OTHER INFORMATION

5.1 Set out any additional information that is relevant or material to this notification. Where necessary, provide this additional information in an attachment.

[Free Text]

SECTION 6: DECLARATIONS

The Declaration must be made by the CEO or director of the Singapore Entity.

6.1 We declare that:

- The Singapore Entity has complied with and will adhere to the conditions set out in:
 - (i) regulation 6(1) of the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021;
 - (ii) regulation 6(1) of the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021;
 - (iii) regulation 10(1) of the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021;
 - (iv) regulation 8(1) of the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021;
 - (v) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021 (Notice SFA04-N17);
 - (vi) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021 (Notice FAA-N22);
 - (vii) paragraphs 3, 4 and 5 of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Persons in relation to Cross-Border Arrangements under the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021 (Notice SFA04-N19);
 - (viii) paragraphs 3, 4 and 5 of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Financial Advisers in relation to Cross-Border Arrangements under the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021 (Notice FAA-N24);

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- (ix) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021 (Notice SFA04-N18);
- (x) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021 (Notice FAA-N23);
- (xi) paragraphs 3, 4 and 5 of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Licence Holders and Specified Exempt Persons in relation to Cross-Border Arrangements under the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021 (Notice SFA04-N20); and/or
- (xii) paragraphs 3, 4 and 5 of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Licensed Financial Advisers and Specified Exempt Financial Advisers in relation to Cross-Border Arrangements under the Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021 (Notice FAA-N25).

We are fully aware that sections 329(1), (3) and (4) of the SFA provide as follows:

"(1) ANY PERSON WHO PROVIDES THE AUTHORITY WITH ANY INFORMATION UNDER THIS ACT MUST 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 THE PERSON BY THE AUTHORITY,

MUST 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 114(1), (3) and (4) of the FAA provide as follows:

"(1) ANY PERSON WHO PROVIDES THE AUTHORITY WITH ANY INFORMATION UNDER OR FOR THE PURPOSES OF ANY PROVISION OF THIS ACT MUST 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

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(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 OR HER BY THE AUTHORITY, MUST 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 notification and in the attached annexes (if any) is true and correct.

Name : [Free Text]

Designation : [Free Text]