

SECURITIES AND FUTURES ACT 2001

FINANCIAL ADVISERS ACT 2001

FORM

FR

ANNUAL DECLARATION 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

ANNUAL DECLARATION 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	<i>[Free Text]</i>
Company Registration Number (UEN)	<i>[Free Text]</i>

Explanatory Notes

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

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

SECTION 3: CERTIFICATION BY INDEPENDENT ASSURANCE FUNCTION

3.1 The certification for the preceding financial year, in respect of the Singapore Entity's notified arrangement(s), that the Singapore Entity has complied with the requirements prescribed under:

- (i) regulation 6(1) of the Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021;
- (ii) regulation 6(1) of 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 Office) Regulations 2021;
- (iv) regulation 8(1) of Financial Advisers (Exemption for Cross-Border Arrangements) (Foreign Office) 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 – 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).

is provided by:

- Internal Auditor, Name and Designation of Internal Auditor: *[Free Text]*
- External Auditor, Name of External Auditor: *[Free Text]*
- Service provider engaged to perform the internal audit function for the Singapore Entity, Name of Internal Auditor service provider: *[Free Text]*

Please attach the certification.

SECTION 4: DECLARATIONS

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

4.1 We declare that:

- We are not aware of any material adverse information relating to the Arrangements 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(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
- (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.

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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 declaration and in the attached annexes (if any) is true and correct.

Name : [Free Text]

Designation : [Free Text]