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| SECURITIES AND FUTURES ACT  (Cap. 289)  SECURITIES AND FUTURES  (LICENSING AND CONDUCT OF BUSINESS)  REGULATIONS  **NOTICE OF COMMENCEMENT OF BUSINESS / ADDITIONAL REGULATED ACTIVITY(S) LODGED PURSUANT TO REGULATION 14(4) BY A PERSON EXEMPTED FROM HOLDING A CAPITAL MARKETS SERVICES LICENCE UNDER SECTION 99(1) (a), (b), (c) AND (d)** |  | FORM  **26** |

**Explanatory Notes**

1. Please read the explanatory notes and questions carefully before completing and lodging the notification form (“Form”) with the Monetary Authority of Singapore (“the Authority”).
2. In this Form, “exempt financial institution” refers to a person exempt from holding a capital markets services licence under section 99(1)(a), (b), (c), or (d) of the Securities and Futures Act (Cap. 289) (“the Act”).
3. All questions must be answered and all fields must be filled. If a question or field is not applicable, please mark “N.A.” in the space provided.
4. Please check the relevant box(es), where appropriate.
5. Please use the “+” function in the tables to add rows where relevant; the “+” function can be viewed by clicking on a row in a table to be filled.
6. This Form should be accompanied by a scanned or pdf copy of the exempt financial institution’s declaration in Section II when submitting this Form electronically. The Declaration must be signed by either the chief executive officer, a director or the corporate secretary of the exempt financial institution.
7. If more space is needed to provide responses to the questions in this Form, the exempt financial institution should submit an attachment with the additional responses, and label clearly, the relevant question each additional response is for.
8. Form 26 should be lodged online via [FormSG](https://form.gov.sg/6360ce0cbe44fe0012f9f840). After submission, FIs may view a record of their submission by logging into [MAS-Tx](https://eservices.mas.gov.sg/mastx/login).

**SECTION I:** **INFORMATION ON EXEMPT FINANCIAL INSTITUTION (“EFI”)**

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| **Full Name of Exempt Financial Institution:** Click or tap here to enter text. |

* 1. Please indicate whether this notification is for:

Lodgement in relation to commencement of business in any regulated activity(s) as an EFI

**OR**

Commencement of additional regulated activity(s)

* 1. Please indicate the status of the EFI:

a bank licensed under the Banking Act (Cap.19)

a merchant bank approved as a financial institution under the Monetary Authority of Singapore Act (Cap. 186) in respect of any regulated activity which it is approved to carry out under that Act

a company, or co-operative society licensed under the Insurance Act (Cap.142) in respect of fund management for the purpose of carrying out

insurance business

a finance company licensed under the Finance Companies Act (Cap. 108) in respect of any regulated activity that is not prohibited by that Act or for which an exemption from section 25(2) of that Act has been granted

* 1. Notice is hereby given that with effect from Click or tap to enter a date. (DD/MM/YY), the above-mentioned EFI will commence the following regulated activity(s). [For notification of commencement of additional regulated activity(s), please only indicate the type of additional regulated activity(s) that will be provided:]

Dealing in Capital Markets Products that are:

Securities

Units in a collective investment scheme

Exchange-traded derivatives contracts

Over-the-counter derivatives contracts

Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading

Advising on Corporate Finance

Fund Management

Real Estate Investment Trust Management

Product Financing

Providing Credit Rating Services

Providing Custodial Services

* 1. What best describes the business that the EFI is commencing? Check the relevant boxes.

Commodity futures broker

Corporate finance adviser

Public fund raising

Issue manager for Mainboard listings

Full sponsor for Catalist listings

Continuing sponsor for Catalist listings

Non-public fund raising

Mergers and acquisitions

Restructuring

Others: Click or tap here to enter text.

Crowdfunding platform operator

Custodian

Contracts for Difference (“CFD”) dealer

Fund distribution platform

Futures broker

Introducing broker (passes orders without execution)

Leveraged foreign exchange dealer

OTC derivatives dealer

Placement agent / Underwriter

Stockbroker

REIT manager

Credit rating agency

Others: Click or tap here to enter text.

* 1. Describe how the EFI intends to deliver or distribute its products or services to customers.

Mobile app

Online platform

Phone calls

Face-to-face

Others: Click or tap here to enter text.

1.6 Please provide a breakdown on the target clientele for each applicable regulated activity.

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| **Regulated Activity** | | **Retail (%)** | **Accredited (%)** | **Institutional (%)** | **Expert (%)** |
| Dealing in Capital Markets Products | Securities | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Units in a collective investment scheme | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Exchange-traded derivatives contracts | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Over-the-counter derivatives contracts | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Advising on Corporate Finance | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Fund Management | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Real Estate Investment Trust Management | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Product Financing | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Providing Credit Rating Services | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Providing Custodial Services | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

**SECTION II: DECLARATION**

**[Attach a scanned or pdf copy of this Declaration when submitting this Form electronically. The Declaration must be signed by either the chief executive officer, a director or the corporate secretary of the exempt financial institution.** **Electronic signatures may be provided in lieu of physical signatures.]**

As chief executive officer/director/corporate secretary of

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| **Full Name of Exempt Financial Institution:** Click or tap here to enter text. |

I declare that:

I am fully aware that sections 329(1), (3) and (4) of the Act provides as follows:

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| “(1) ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.”  “(3) ANY PERSON WHO –   1. SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR 2. 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.” |

I am fully aware that under section 99(6) of the Act, the Authority may withdraw the exemption granted to any person under section 99 of the Act.

We are fully aware of the requirements for exempt financial institutions under the Act, including Regulations 54 and 54B of the Securities and Futures (Licensing and Conduct of Business) Regulations, where applicable.

We are fully aware that effective policies and procedures as well as systems and controls should be put in place to ensure compliance with the applicable requirements under the Act, with documentation readily available upon request.

I declare that all information given in this Form, including all supporting documents and attachments, is true and correct.

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| Signature | : |  |
| Name | : | Click or tap here to enter text. |
| Designation | : | Choose an item. |
| Date | : | Click or tap to enter a date.(DD/MM/YY) |