



Regulatory Compliance

The **La Francaise Forum Securities Group's** investment management business is conducted by different entities in the United States, the United Kingdom and Singapore. All our investment management entities are registered or authorised with the relevant regulatory authorities in the relevant jurisdictions in which each entity operates.

United States of America

In the United States, **La Francaise Forum Securities Limited** is registered with the U.S. Securities and Exchange Commission ("SEC") as an investment adviser. Additional information about **La Francaise Forum Securities Limited** (CRD# 150818 / SEC# 801-70773) is available on the SEC's investment adviser public disclosure website here: <http://www.adviserinfo.sec.gov>

Please note that registration with the SEC does not imply a certain level of skill or training.

As an SEC-registered investment adviser, **La Francaise Forum Securities Limited** maintains a Firm Brochure (aka Form ADV Brochure) which can be accessed via the SEC website link set out above or by clicking on the following links:

[La Francaise Forum Securities Limited Brochure - Form ADV Brochure](#)

United Kingdom

In the United Kingdom, **La Francaise Forum Securities (UK) Limited** is authorised and regulated by the UK Financial Conduct Authority ("FCA") and is categorised as a MIFID investment firm (BIPRU €50,000 Limited Licence firm) for regulatory purposes.

Additional information about **La Francaise Forum Securities (UK) Limited** (FRN 517522) is available on the UK Financial Services Register, which is available via the FCA website here: <https://www.fca.org.uk/firms/financial-services-register>

The UK Financial Services Register is a public record that shows details of firms, individuals and other bodies that are, or have been, regulated by the Prudential Regulation Authority and/or the FCA.

Singapore

In Singapore, **La Francaise Forum Securities (SG) Pte. Limited** holds a Capital Markets Service Licence to conduct the regulated activity of fund management as approved by the Monetary Authority of Singapore (“MAS”) for the purposes of the Securities and Futures Act, Chapter 289 of Singapore, and is an Exempt Financial Adviser for the purposes of the Financial Advisers, Chapter 110 of Singapore.

La Francaise Forum Securities (SG) Pte. Limited is included in the Financial Institutions Directory maintained by the MAS and available via the MAS homepage here: <http://www.mas.gov.sg>

The Singapore Financial Institutions Directory provides a listing of the names of regulated persons in respect of the provision of financial services under the various Acts administered by the MAS.