



Regulatory Compliance

The **La Française 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 jurisdictions.

United States of America

In the United States, **La Française Forum Securities Limited** is registered with the U.S. Securities and Exchange Commission ("SEC") as an investment adviser. Additional information about **La Française 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 as an investment adviser does not imply a certain level of skill or training.

As an SEC-registered investment adviser, **La Française 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 Française 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 Française Forum Securities (UK) Limited** (FRN 517522) is available on the UK Financial Services Register, which is available here: <https://register.fca.org.uk>.

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 Française Forum Securities (SG) Limited** is a Registered Fund Management Company with the Monetary Authority of Singapore (“MAS”) for the purposes of the Securities and Futures Act, Chapter 289 of Singapore, and an Exempt Financial Adviser for the purposes of the Financial Advisers, Chapter 110 of Singapore.

La Française Forum Securities (SG) Limited is included in the Financial Institutions Directory maintained by the MAS and available here: <https://masnetsvc.mas.gov.sg/FID.html>.

The Singapore Financial Institutions Directory solely 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.