



Notification Form

Financial Services Regulatory Authority (FSRA) FUNDS PASSPORTING REGISTRATION NOTIFICATION (FPP)

This notification form should be submitted by an ADGM Fund Manager¹ licensed to carry on the Financial Service of Managing a Collective Investment Fund, when notifying the ADGM FSRA that it intends for a Domestic Fund to which it is the appointed Fund Manager be registered as a Passported Fund in accordance with the Funds Passporting Rules (FP).² This form should be submitted as soon as practicable before the Fund Manager requires the Fund to be entered to the Register of Passported Funds. Submit this completed notification form to funds@adgm.com.

This notification form will not be accepted by the ADGM FSRA until after an Applicant for authorisation has fully completed the licensing process and become an Authorised Person. The ADGM FSRA expects that any relevant waivers / modifications should be granted (and any other policy issues resolved) prior to the submission of this notification form.

To assist you³ in completing this notification form we have referenced certain ADGM Rules, for example the ADGM FSRA Funds Passporting Rules (FP). However, these are provided only as a guide and are not an exhaustive list of all Rules that may be applicable to your situation. It is your responsibility to research our Rulebook for any Rules that might otherwise be applicable to this notification.

Do not leave any response-cells empty. If a certain question we ask is not relevant to your intended activities respond to that effect in the cell. If it is more appropriate to answer certain questions in an attachment then indicate in the cell that that is the case. If you determine that you have responded to the same questions in other forms or documents, then reference those items. The use of acronyms is to be avoided. If you do need to use acronyms then they must be defined.

Ensure that that you are using the latest published version of this notification form. ADGM FSRA will only accept out-of-date forms if they are submitted within one-month of the publication of the updated version on the ADGM website.

¹ Terms defined in the ADGM FSRA Glossary (GLO) Rulebook or the glossary sections in other Rulebooks are identified by the capitalisation of the initial letter of a word or of each word in a phrase, unless the context otherwise requires the word to have its natural meaning.

² There are separate supplement FUNDS forms relating to Domestic Funds, being for the registration of a Public Fund (FPR), and the notification of Exempt Funds or Qualified Investor Funds (FEQN).

³ The terms “you” and “your” as used throughout are not implied in the personal sense, but rather refer to the Authorised Person making the Notification. The terms “we” and “our” refer to the ADGM FSRA.



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1 Contact Details of Fund Manager

1.1 Full name of the Authorised Person / Fund Manager:

[Insert text here]

1.2 Provide the name and contact details of the lead contact person for this notification. Provide telephone, e-mail and mailing address:

[Insert text here]

1.3 Provide the name and contact details of any professional adviser(s) that may be assisting with this notification:

[Insert text here]

1.4 Would you like us to copy in your professional adviser(s) on any correspondence?

[Insert text here]



2 Information for Passporting Funds

2.1 Provide full name of the Fund to which this notification relates⁴:

[Insert text here]

2.2 Confirm whether the Fund is a Public Fund or Private Fund⁵ for the purposes of the Fund Passporting Rules:

Private Fund:

Public Fund: (n.b. for a Public Fund you must also complete Section 3)

2.3 Confirm the Host Jurisdictions into which you intend the passport to apply (tick the relevant boxes):

UAE (excluding Financial Free Zones):

Dubai International Financial Centre:

2.4 Where applicable, identify any Agents or Licenced Persons that will conduct promotion of the Fund in the Host Jurisdiction(s):

Name of Agent	Address	Regulator
[Insert text here]		

2.5 Confirm that you have attached a copy of the Prospectus containing the disclaimer required by the Funds Promotion Rules:⁶

[Insert text here]

⁴ In respect of Umbrella Funds, a notification must be submitted for each sub-fund that the Fund Manager intends to passport. The same principle applies to incorporated or segregated cell companies and the individual cells, etc.

⁵ Qualified Investor Funds and Exempt Funds are Private Funds for the purposes of the Funds Passporting Rules

⁶ Refer to FP 3.1.3 (d) for Private Funds and FP 3.2.3(e) for Public Funds



3 Information specific to Passported Public Funds

Additional information about a Public Fund⁷

- 3.1 Is the Passported Fund registered as a Public Fund in ADGM?
YES: **NO*:**
- 3.2 Certify⁸ that the Public Fund meets, and will continue to meet, the requirements of Chapter 6 of the Funds Passporting Rules⁹:
YES: **NO*:**
- 3.3 Has a Key Investor Information Document (KIID) in both English and Arabic been prepared?
YES: **NO*:**
- 3.4 Are all of the incorporation and other legal formalities relating to formation of the Public Fund completed?
YES: **NO*:**
- 3.5 Have you have appointed an auditor in Compliance with FSRA rules?
YES: **NO*:**
- 3.6 Is the Passported Fund's Prospectus in English and does it contain, at a minimum, all of the information prescribed in the table included in FP Appendix 1¹⁰?
YES: **NO*:**
- 3.7 Has a Custodian licenced by UAE Securities and Commodities Authority has been appointed?
YES: **NO*:**

Provide the details of the Custodian below:

Name	[Insert text here]
SCA Licence No.	[Insert text here]
Address	[Insert text here]

*If you ticked NO in response to any question above please provide an explanation below.

[Insert text here]

⁷ Only complete this section if the Passported Fund is a Public Fund. If the Passported Fund is a Private Fund, skip to section 4.

⁸ Pursuant to FP 3.2.3(b)

⁹ FP 6: Management and Operation of a Passported Fund

¹⁰ Checklist FPP Appendix 1 – Prospectus Contents should be completed and attached to this Form



4 Documentation for the Passported Fund

4.1 Check the appropriate box to confirm whether or not the following required documents are attached:

Documents Attached:	Yes	No
Articles of Association	<input type="checkbox"/>	<input type="checkbox"/>
Prospectus	<input type="checkbox"/>	<input type="checkbox"/>
Key Investor Information Document (Public Funds Only)	<input type="checkbox"/>	<input type="checkbox"/>

4.2 If you responded “No” in any of the cells in Item 4.1 above provide an explanation. The ADGM FSRA may determine your notification to be incomplete without these documents and, in which case, not accept the submission and / or return it as materially incomplete:

[Insert text here]



5 Payment of Fees & Submission of Notification

This form, once duly completed and with the necessary signatures in place, can be emailed in PDF format, to FUNDS@ADGM.COM.

We will formally acknowledge receipt of the Notification and issue a payment invoice for the relevant fee once we ascertain that it is materially complete. Details of the FSRA's bank account will be provided at that time. The Notification will not be processed until the relevant fees are paid in full to the FSRA.¹¹

Incomplete submissions will be rejected.

Please check the box to confirm that the notification fees remitted will be net of all service charges for both sides of the transaction:

As per FEES, Rule 1.2 (General provisions) the Fund Manager must pay the fee in USD by bank transfer, directly from the Fund Manager's account to the Regulator's account.

Cheques or bank drafts will not be accepted. Provide the FSRA with a soft-copy of the executed transaction (i.e. payment confirmation) at the time of remitting the fees.

Firms are advised to retain a copy of their complete submission.

¹¹ Details of the notification fees are contained in the FSRA FEES Rulebook.



5 Declarations

- 6.1 I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this supplement and documents attached, as well as any applicable supporting documents, is complete and correct. I understand that it is an offence under ADGM FSMR, Article 219, *Misleading the Regulator*, if I were to knowingly or recklessly provide to the ADGM FSRA any information which is false, misleading or deceptive or to conceal information where the concealment of such information is likely to mislead or deceive the ADGM FSRA.
- 6.2 I confirm that if, at any time following the submission of this notification, the Authorised Person becomes aware of any material change, error or omission that is reasonably likely to be relevant to such notification, the Authorised person shall give a written notice to the ADGM FSRA without delay.
- 6.1 I confirm that I have the authority to make this notification, to declare as specified above and sign this form.
- 6.2 I understand that any personal data provided to the ADGM FSRA will be used to discharge its regulatory functions under the Abu Dhabi Law No. 4 of 2013 and other relevant legislation and may be disclosed to third parties for those purposes.

Signature of Director/Partner of the Authorised Person:

Date:

Printed name of the above signed Director/Partner:

[Insert text here]

Position or title:

[Insert text here]