

Notification Form

Financial Services Regulatory Authority (FSRA) Marketing and Selling of Funds - Notification Form (FMN)

The purpose of this notification form is to assist an Authorised Person¹ with its reporting requirements under the ADGM FSRA FUNDS module (FUNDS) in relation to the marketing and selling of Domestic Funds and Foreign Funds. This notification form consists of four sections:

- 1 Details of Authorised Person
- 2 Marketing and selling of Domestic Funds
- 3 Marketing and selling of Foreign Funds
- 4 Declaration

All Authorised Persons must complete sections 1 and 4, together with either section 2 or 3, or both sections, as applicable.

Answers must be typed in electronic format. 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. The use of acronyms is to be avoided. If you² 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 ADGM FSRA will only accept out-of-date forms if they are submitted within one-month of the publication of the updated version on the ADGM website. On receipt of this notification form, the ADGM FSRA may, as appropriate, request any other information to obtain further clarification.

Please return the completed form to the Authorised Person's relevant ADGM FSRA Supervision relationship manager at their relevant ADGM FSRA email address.

Authorised Persons are advised to retain a copy of this notification form and all attachments for their records.

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 The terms "you" and "your" as used throughout are not implied in the personal sense, but rather refer to the Applicant applying for a Financial Services Permission. The terms "we" and "our" refer to the ADGM FSRA.

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1 Details of Authorised Person

1.1 Full name of the Authorised Person:

[Insert text here]

1.2 ADGM FSRA Licence Number:

[Insert text here]

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

[Insert text here]



2

Marketing and selling of Domestic Funds

	Name of Fund	Name of ADGM Fund Manager
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

Note: Continue on a separate sheet if necessary.



3 Marketing and selling of Foreign Funds

Part A: Foreign Funds

	Name of Fund	Name of Fund Manager	Place of domicile / incorporation	If Fund is rated / graded as investment grade, provide name of rating agency
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

Note: Continue on a separate sheet if necessary.



Part B: Recommendation-Based Offers of Units of Foreign Funds

	Name of Fund	Place of domicile / incorporation	Name of Fund Manager	Regulated [Y or N]	Name of Custodian	Regulated [Y or N]	Name of investment manager	Regulated [Y or N]	Suitability assessment undertaken for each Client (FUNDS Rule 10.1.6 / COBS Rule 3.4.2) [Y or N]
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

Note: Continue on a separate sheet if necessary.

4 Declarations

- 4.1 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.
- 4.2 I confirm that I have the authority to make this notification, to declare as specified above and sign this form for, or on behalf of, the Authorised Person.
- 4.3 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 Compliance Officer, Senior Executive
Officer, Director/Partner, or individual nominated by
any of the aforementioned:

Date:

Printed name of the above person:

[Insert text here]

Position or title:

[Insert text here]