

SECURITIES AND FUTURES ACT
(CHAPTER 289)

SECURITIES AND FUTURES (FINANCIAL AND MARGIN
REQUIREMENTS FOR HOLDERS OF CAPITAL MARKETS
SERVICES LICENCES) REGULATIONS (Rg 13)

REGULATION 27(5)

**STATEMENT OF EXPOSURE TO
MARGINED SINGLE SECURITY**

FORM
11

Name of the holder of a capital markets services licence: _____

Statement as at: _____
(dd/mm/yy)

Top 10 margined single security with largest margin exposure

	Name of Security	Margin Exposure \$	Margin exposure as a percentage of free financial resources/average adjusted net capital, as the case may be
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
Sub-total			
Other margined securities			
Total			

**STATEMENT BY HOLDER OF CAPITAL
MARKETS SERVICES LICENCE**

This statement is submitted on behalf of **(Name of the licensee)** by **(Name of Director)**, who certifies that:

- (a) the above statement has, to the best of his knowledge and belief, been drawn up to comply with the requirements of the Securities and Futures Act (Cap. 289) and the requirements as may be prescribed or specified by the Authority; and
- (b) the information contained in the above statement is to the best of his knowledge and belief true and correct.

Dated this (dd/mm/yy): _____