

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 AGGREGATE  
MARGIN EXPOSURE TO SINGLE  
SECURITIES EXCHANGE**

FORM  
**9**

Name of the holder of a capital markets services licence: \_\_\_\_\_

Statement as at: \_\_\_\_\_

(dd/mm/yy)

Top 5 aggregate margin exposure in respect of securities listed on each securities exchange

	Name of Securities Exchange	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			
Sub-total			
Other securities exchange(s)			
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) (Name of the licensee)
- complied with
  - did not comply with regulation 24(3)(a) and (b) of the Securities and Futures (Financial and Margin Requirements for Holders of Capital Markets Services Licences) Regulations (Rg 13) for the quarter ended \_\_\_\_\_(dd/mm/yy);
- (b) 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
- (c) the information contained in the above statement is to the best of his knowledge and belief true and correct.

Note:

*If any part of this report is qualified, a separate report giving details of such qualifications shall be submitted to the Authority together with the statements and forms referred to in regulation 27(8) and (9). Submission shall be made by personal delivery or by pre-paid post.*