

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 SPECIFIED
PRODUCT**

FORM

9

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

Statement as at: _____

(dd/mm/yy)

Top 10 margined single specified product with largest margin exposure

| | Name of Specified Product | Margin Exposure \$ | Margin exposure as a percentage of free financial resources |
|-----------------------------------|---------------------------|-----------------------|--|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |
| 6 | | | |
| 7 | | | |
| 8 | | | |
| 9 | | | |
| 10 | | | |
| Sub-total | | | |
| Other margined specified products | | | |
| 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 regulation 27 of the Securities and Futures (Financial and Margin Requirements for Holders of Capital Markets Services Licences) Regulations; 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): _____