

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 APPROVED
EXCHANGE**

FORM

7

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

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

Top 5 aggregate margin exposure in respect of specified products listed on each
approved exchange

	Name of Approved Exchange	Margin Exposure \$	Margin exposure as a percentage of free financial resources
1			
2			
3			
4			
5			
Sub-total			
Other approved exchanges			
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) 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); and

- (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) information is to the best of his knowledge and belief true and correct.

Dated this (dd/mm/yy): _____

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.