

NAME OF FORM: SECURITIES HELD BY FIRM NOT ASSIGNED TO REPOS SEC-MMRF04

REFERENCE NUMBER	AREA/ITEM	INSTRUCTIONS
	SECURITIES HELD BY FIRM NOT ASSIGNED TO REPOS	<p>This form captures information on all securities held by a Broker-Dealer that have not been used as collateral for Repos for the purpose of assessing the overall risk exposure of the Reporting Entity.</p> <p>Unless otherwise stated all amounts are to be expressed in TTD.</p>
	Name of Issuer	State the legal name of the security issuer.
	Coupon	State the annual coupon rate paid by the fixed income security, where applicable.
	Type	Select from the drop down menu whether the security has a fixed or floating rate, where the security cannot be classified as fixed or floating select Not Applicable.
	Valuation Category	<p>This category is intended to capture how Reporting Entities value the securities held within their portfolios. Select one of the following categories from the drop-down menu relating to the pricing information used in the Reporting entity's valuation methodology:</p> <p>Level 1 - securities within the portfolio which are valued by quoted prices on an organized exchange.</p> <p>Level 2 - This includes securities whose fair value requires the use of valuation techniques using inputs that are directly observable in the market which are not included within Level 1. Examples of observable market inputs include: quoted prices for similar assets, interest rates, yield curve, credit spreads, etc.</p> <p>Level 3 - securities within the portfolio which are valued using techniques that are based on unobservable market inputs and necessitates the use of internal information, assumptions and estimates to determine the fair value of a security.</p>
	ISIN (if applicable)	State the security's ISIN or CUSIP number, if applicable.
	Maturity Date (dd/mm/yyyy)	State the date on which the security will mature, if applicable.
	Number of Units	State the total number of shares or nominal amount of the security held.
	Price Currency	State the currency in which the price of the security is quoted, for e.g. USD, TTD, GBP, XCD etc.

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	Price per Unit	State the market price per unit of the security at the end of the reporting period, if applicable.
	TT\$	State the market value of the security where it is denominated in TTD.
	US\$ (converted to TT\$)	State the TT dollar equivalent of the market value of the security where it is denominated in USD.
	Other (converted to TT\$)	State the TT dollar equivalent of the market value of the security where it is denominated in a currency other than TTD or USD.
4001	TT Government Securities	List all investments in securities issued in T&T by the GORTT.
4002	TT Non-Financial State Agencies	List all investments in securities that have been issued by non- financial state agencies within T&T. For the purposes of this form, non-financial state agencies will include those that are formed by statute or incorporated under the Companies Act and owned by corporation sole.
4003	TT Financial State Agencies	List all investments in securities that have been issued by financial state agencies within T&T. For the purposes of this form, financial state agencies will include those that are formed by statute or incorporated under the Companies Act and owned by corporation sole.
4004	TT Government Eurobonds	List all investments in securities that have been issued outside T&T by the GORTT in a currency other than TTD.
4005	TT Bonds Financial Sector	List all investments in securities, denominated in both TTD and foreign currencies, issued by financial institutions within T&T excluding TT financial state agencies.
4006	TT Other Corporate Bonds	List all investments in fixed income securities, denominated in both TTD and foreign currencies, issued by non-financial institutions within T&T excluding TT non-financial state agencies.
4007	TT Equity	List all investments in equity securities listed on the TTSE (excluding CISs listed on the TTSE).
4008	TT CISs	List all investments in CISs domiciled and registered in T&T.
4009	Foreign CISs	List all investments in foreign CISs domiciled and registered in a foreign jurisdiction.
4010	Foreign Equity	List all investments in equity securities issued by entities not domiciled in T&T excluding foreign CISs.
4011	Foreign Government Securities	List all investments in securities issued by foreign governments.
4012	Foreign Non-Government Securities	List all investments in securities issued by foreign non-government entities, excluding foreign equities.

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4013	Real Estate	List all investments in assets that are land or buildings.
4014	Other Assets	List all investments in other assets, both foreign and local that are not referenced in 4001-4013.
4016	Portfolio Duration	State the portfolio duration, if applicable.