

**NAME OF FORM: TRANSACTIONS - OVER THE COUNTER (OTC)/MARGIN TRADING SEC-MMRF08**

REFERENCE NUMBER	AREA/ITEM	INSTRUCTIONS
	<b>OVER THE COUNTER (OTC) TRANSACTIONS FORM</b>	<p>This form collects information on OTC transactions where a Reporting Entity acted as Agent (arranger) or Principal (buyer/seller) on any trade in <b>local securities</b> not occurring on the Trinidad and Tobago Stock Exchange.</p> <p>It also captures margin trading on local and foreign securities by Broker-Dealers.</p> <p>Unless otherwise stated all amounts are to be expressed in TTD.</p>
	Transaction Date (dd/mm/yyyy)	State the date on which the transaction was executed.
	Transaction ID	State the unique transaction ID number generated for the transaction.
	Client ID	State the unique identifier used to refer to clients. Where a unique identifier is not used, state the name of the client.
	Principal or Agent	State whether the Registrant has acted as a Principal or Agent in the transaction. As Principal, the Registrant will be purchasing or selling for its proprietary book. As Agent, the Registrant will be arranging a trade between third party buyers and sellers.
	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.
	Maturity (dd/mm/yyyy)	State the date on which the security will mature, if 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.
	Security Type (Equity/Fixed Income/Other)	State the type or category of security.
	ISIN (if applicable)	State the ISIN or CUSIP number for the security, where applicable.
	Number of Units	State the total number of shares or nominal amount of the security held.
	Currency (TT, US, etc)	State the currency in which the transaction is denominated.

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	Price per unit	State the market price per unit of the security as at the transaction date.
	Rate	State the TT\$ conversion rate.
	Value (TT\$)	State the TT\$ equivalent of the value of the transaction.
	Nature of Buying Counterparty	Select from the drop-down menu, the category of person or entity who is buying the security. The following categories are applicable: <ul style="list-style-type: none"> <li>• Related Party refers to an affiliate or related party of the Registrant. The definitions of affiliate and related party are contained in Section 4(2) of the SA 2012 as amended and By-law 66 of the Securities (General) By-laws, 2015 respectively.</li> <li>• CIS refers to a collective investment scheme as defined under Section 4 (1) of the SA 2012.</li> <li>• Registrant refers to a person registered under Part IV of the SA 2012.</li> <li>• Other refers to a person not falling within aforementioned categories.</li> </ul>
	Nature of Selling Counterparty	Select from the drop-down menu, the category of the person or entity who is selling the security. The following categories are applicable: <ul style="list-style-type: none"> <li>• Related Party</li> <li>• CIS</li> <li>• Registrant</li> <li>• Other refers to a person not falling within aforementioned categories.</li> </ul>
	Margin Trading	State the total amount of margin split into two categories: foreign and TT investments.
8100	Foreign Investments	State the total amount of securities issued outside of T&T which were the subject of margin trading.
8200	TT Investments	State the total amount of securities issued within T&T which were the subject of margin trading.