

# **CAPITAL/STOCK MARKET OPERATORS REPORTING FORMAT**

## **EXPLANATORY NOTE**

### **EXCEL FIELDS**

#### **Field 1 – SERIAL NO**

Serial Numbering

#### **Field 2 – TYPE OF INSTITUTION**

The capacity the reporting institution assumed on the course of the transaction. Such as:

- |                                  |  |
|----------------------------------|--|
| A. Broker                        | L Market maker                         |
| B Broking firm                   | M Registrar                            |
| C Issuing House                  | N SRO                                  |
| D FCM                            | O Specialist                           |
| E Futures floor broker           | P Subsidiary of bank                   |
| F Futures floor trader<br>dealer | Q Sierra Leone Government broker-      |
| G BD<br>broker                   | R Sierra Leone Government inter-dealer |
| H Investment Analyst             | S Re-futures                           |
| I Investment company mutual fund | T Agricultural trade option merchant   |
| J Portfolio managers             | U Affiliate of bank holding company    |
| K Fund managers                  | V CPO                                  |
|                                  | W Other (Please specify)               |

#### **INSTITUTION CODE**

Reporting entity code from the Sierra Leone Financial Intelligence Unit

#### **SEC REG. NO.**

Institution or broker's registration number with the Securities & Exchange Commission.

#### **SIERRA LEONE EXCHAGE NUMBER**

Institution or broker's registration number with the Sierra Leone Stock Exchange.

#### **CSCS NUMBER**

Institution or broker's registration number with the Securities & Exchange Commission.

#### **DMO NUMBER**

Institution or broker's registration number with the **Debt Management Office** if trading on government stock.

**TRANSACTION BRANCH**

The institution's branch or broker's office where the reported transaction took place.

**RESIDENTIAL ADDRESS**

Number and street name of the branch including Area where the street is located.

**POSTAL ADDRESS**

Postal address used

**CITY**

City where the address is located

**REGION OR STATE**

Region or State where the address is located

**INVESTOR'S SURNAME OR INVESTING ENTITY'S NAME**

Surname of individual or name of organization that conducted the transaction

**FIRST NAME**

First name of the investor, if individual

**MIDDLE NAME**

Middle name of the investor, if individual

**TITLE**

Individual salutation e.g. Mr., Mrs., Dr., Chief, Igwe, Alhaji, etc.

**ALIAS**

Any other title, also known as (aka) or other names of the individuals

**DATE OF BIRTH OR INCORPORATION**

Investor's date of birth or investing entity's date of incorporation. This should be in YYYY-MM-DD HH24:MI:SS format.

**OCCUPATION/TYPE OF BUSINESS**

The Investor's occupation or the investing entity's line of business

**INDENTIFICATION OR RC NUMBER**

The number on the investor's identity card or the RC number of the investing entity

**TYPE OF IDENTIFICATION**

Specify the mode of identification.

- Driving license
- National ID Card
- International passport

**RESIDENTIAL ADDRESS**

Number and street name of the investor's or investing entity's address including the area of location.

**POSTAL ADDRESS**

This specifies the Postal Address

**CITY**

City where the address is located

**REGION OR STATE**

Region or State where the address is located

**E-MAIL**

Investor's or Investing entity's e-mail address

**TELEPHONE NO.**

Investor's or Investing entity's telephone number

**TRANSACTION DATE**

The date the reported transaction took place. This should also be in YYYY-MM-DD HH24:MI:SS format

**ACCOUNT NUMBER(S)**

The Investor's or Investing entity's account number with the reporting institution.

**ACCOUNT STATUS**

Indicate how operational the account has been. Whether active, dormant, reactivated, new or closed etc

**CSCS ACCOUNT NUMBER**

The Investor's or Investing entity's account number with the CSCS (if any)

**VALUE PER STOCK/SHARE**

The unit price of the stock/share involved in the transaction

**VOLUME**

Total number of stock/share or investment involved in the transaction

**AMOUNT**

Value of the stock/share or investment

**INSTRUMENT TYPE**

Specify the type of instrument involved in the transaction. Such as purchase of:

- A Bonds/Notes
- B Cash or equiv
- C Commodity futures contract
- D Mutual Fund
- E Debt stocks
- F Commodity derivatives
- G Security futures products
- H Stocks
- I Warrants
- J Other Securities
- K Warehouse receipt/warrant
- L Foreign currency future/options
- M Foreign currencies
- N Debentures
- O Development Bonds/Stock
- P Over the counter (OTC) Transactions
- Q Others (Please specify)

**REASON FOR SUSPICION**

State what you think about the transaction briefly as:

- A Bribery/gratuity
- B Cheque fraud
- C Computer intrusion
- D Credit/debit card fraud
- E Embezzlement/theft
- F Commodity futures fraud
- G Forgery
- H Identity theft
- I Insider trading
- J Mail fraud
- K Market manipulation
- L Money laundering/Structuring
- M Prearranged trading
- N Securities fraud
- O Significant wire or other transactions
- P Suspicious document or ID
- Q Terrorist financing
- R Wash or other fictitious trading
- S Wire fraud
- T Other (Describe)

Please note that this field is applicable to suspicious transaction report (STR) only

**ACTION TAKEN**

If a law enforcement or regulatory authority has been contacted (excluding submission of a STR) Please indicated the notified authority

- |   |                     |   |         |   |                 |
|---|---------------------|---|---------|---|-----------------|
| A | SEC                 | G | CIS     | K | Other (Specify) |
| B | Justice of Ministry | H | ACSE    |   |                 |
| C |                     |   |         |   |                 |
| D | Police              | I | CSCS    |   |                 |
| E | SSS                 |   |         |   |                 |
| F | IST                 | J | Foreign |   |                 |

Note: This field is also applicable to suspicious transaction report (STR) only