

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 dealer	Q Sierra Leone Government broker-
G BD 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

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

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