

CIRCULAR 45

To: PARTICIPATING INSTITUTIONS

From: NASD OTC Securities Exchange

Date: 22 DECEMBER 2020

Subject: NEW TEMPLATE FOR RENDITION OF QUARTERLY RETURNS

All Participating Institutions (excluding Custodians and Issuing Houses) are hereby notified that NASD PLC has amended the template for Rendition of Quarterly Returns. This review is necessary to comply with industry standards. The amendment is to the reporting template named '**Internal Audit Report Form**' which has now been replaced with the template named '**Participating Institution Quarterly Disclosure Form.**'

Please note that the excel template for filing Transaction Reports has not changed.

The new reporting template shall take effect from 01 January 2021. Kindly click the link below or visit our website to download same.

- [Participating Institution Quarterly Disclosure Form-](#)
- [Quarterly-Transaction-Report-Format.xlsx](#)

Please endeavour to specify the name of your Firm on the templates as well as in saving the documents before forwarding electronic copies.

For further clarifications, kindly send an email to legalcompliance@nasdng.com

Thank you.

NASD PLC