



FORM 11
[regulation 37]

ANNUAL INFORMATION UPDATE FORM REGISTERED COMPANY

General Instruction: If insufficient space is provided, attach additional information.

WARNING: *Intentional misstatement or failure to disclose information may constitute an offence.*

Section A – Details of the Registered Company

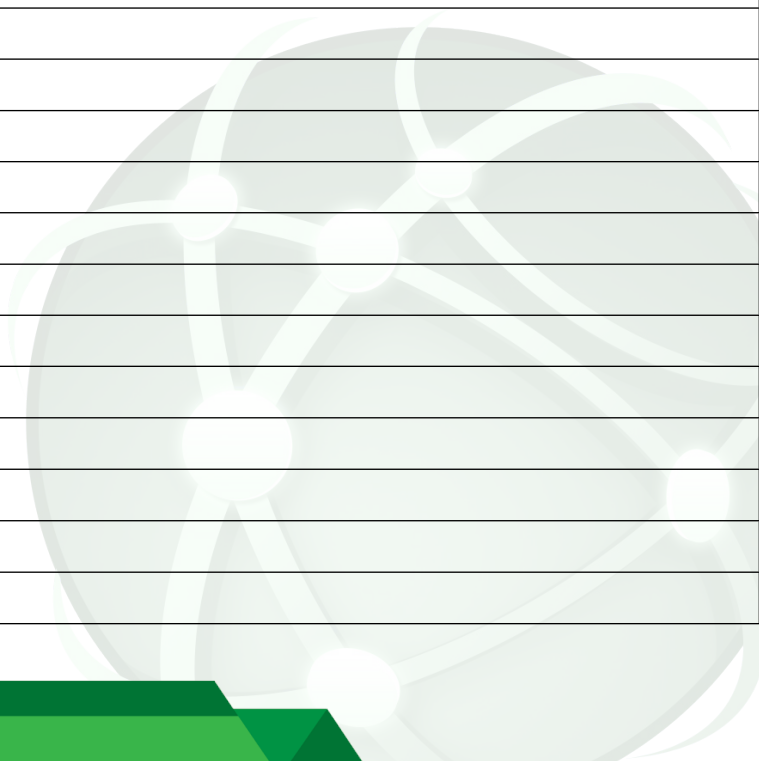
Name:		
Securities business(es) for which registered:		
Address:		
P.O. Box:		
Telephone:	Website addresses:	Email:

Section B – Details of Registered Individuals

Chief Executive Officer:	
Direct line:	Email:
Compliance Officer:	
Direct line:	Email:

Individuals registered as securities representatives of the company.

Names of securities representatives



Section C – Directors and Ownership Details

Names of Directors	
Security holders:	
Names	Number and type of securities held

Section D – General Information

Assets Under Management:		
Financial Year End:		
Number of Employees:		
Insurance Coverage: (specify separately for each type of insurance held)		
Type:		
From	To	Amount

Please indicate any additional changes with respect to the registered company that the company considers important or appropriate to report with any additional information needed to explain the changes.

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Declaration:

The Chief Executive Officer shall certify the following statement by signature or other specified means.

“I, the undersigned, hereby affirm that to the best of my information, knowledge and belief that:

- a. the contents of this form and any attachments provided with this form are true, correct and not misleading; and
- b. all of the information filed with the Commission by the Registered Company is current and applicable.”

Date

Signature

