



SECURITIES COMMISSION OF THE BAHAMAS

Poinciana House
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31A East Bay Street
P.O. Box N-8347
Nassau, The Bahamas

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SECURITIES INDUSTRY (CONTRACTS FOR DIFFERENCES) RULES, 2020 FORM CFD3 (Rule 14)

Operational Report – Contracts for Differences

General Instructions: Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced in the form and the reference index attached. See detailed list of required attachments at the end of this document. This form should be certified by the Chief Executive Officer and Treasurer (see the Attestation).

Completed applications should be submitted to:

Supervision Department

Securities Commission of The Bahamas
Poinciana House North Building,
2nd Floor 31A East Bay Street
P.O. Box N-8347
Nassau, The Bahamas

Or via email to: SUDfilings@scb.gov.bs

As of and for the Period ending:

(Specify – Annual or Quarterly Report)

Note that this Report is required in addition to Form 13 under the SIR

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

CFD TRADING STATISTICS

	Retail Clients	Non-Retail clients
Number of accounts trading CFDs		
Total number of CFD trades executed		
Number of CFDs traded for period		
CFDs		
Other		

Percentage of retail accounts that lost money:

Aggregate retail losses:

Certificate regarding retail margin rule

The Registered CFD firm is in compliance with the retail margin requirements set out in sections 23 to 28 of these Rules	<p>Yes No</p> <p>(if no, attach full details, including the actions that are being taken to rectify the failure to comply)</p>
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Include the signature of the Chief Executive Officer and Treasurer certifying the following statement:

"We, the undersigned, hereby affirm that to the best of our information, knowledge and belief that —

- (a) the Applicant is currently in compliance with all the applicable provisions of the Act and the Regulations and these Rules; and*
- (b) the contents of this form and any attachments provided with this form are true, correct and not misleading."*

Chief Executive Officer's Signature: _____

Treasurer Signature: _____

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