



Gibraltar Investor Compensation Scheme

Survey of Potential Compensation

This form must be completed as at end of March, June, September and December of every year and must be returned to the GICB by the 21st April, 21st July, 21st October and 21st January respectively.

Name of Firm :

Period being completed

March

June

Year _____

September

December

Number of Eligible clients

Signed :

Name :

Date:

Notes for completion (further guidance can be found on www.gics.gi):

1. The eligible client base is the number of eligible investors holding eligible investments.
2. An investor is in the case of an investment manager or adviser a person with whom the firm has a current contractual agreement to provide such services or, in the case of any other authorised firm, a person for whom the firm is holding money or other assets in all of its designated client accounts with either banks or other broker. Eligible investors are defined on the GICS website.
3. Eligible investment are transferable securities, units in collective investment undertakings, money market instruments, financial-futures contracts (including equivalent cash-settled instruments), forward interest-rate agreements (FRAs), interest-rate swaps, currency swaps, equity swaps, options to acquire or dispose of any of the above instruments (including equivalent cash-settled instruments) e.g. currency options and interest-rate options. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, or other derivatives instruments, financial indices or financial measures which may be settled physically or in cash; Options, futures, swaps, forward rate agreements and any other derivative contracts relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event); Options, futures, swaps, and any other derivative contract relating to commodities that can be physically settled provided that they are traded on a regulated market and/or a multilateral trading facility (MTF); Options, futures, swaps, forwards and any other derivative contracts relating to commodities, that can be physically settled not otherwise mentioned in C.6 and not being for commercial purposes, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are cleared and settled through recognised clearing houses or are subject to regular margin calls; Derivative instruments for the transfer of credit risk; Financial contracts for differences; and Options, futures, swaps, forward rate agreements and any other derivative contracts relating to climatic variables, freight rates, emission allowances or inflation rates or other official economic statistics that must be settled in cash or may be settled in cash at the option of one of the parties (otherwise than by reason of a default or other termination event), as well as any other derivative contracts relating to assets, rights, obligations, indices and measures not otherwise mentioned in this Section, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are traded on a regulated market or an MTF, are cleared and settled through recognised clearing houses or are subject to regular margin calls.