



# 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 21<sup>st</sup> April, 21<sup>st</sup> July, 21<sup>st</sup> October and 21<sup>st</sup> January respectively.

Name of Firm :

Period being completed      March       June       Year \_\_\_\_\_  
                                         September       December

Number of Eligible clients

Total exposure to GICS

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

*Notes for completion (further guidance can be found on [www.gics.gi](http://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 brokers. Eligible investors are defined on the GICS website.*
- 3. The list of eligible investments can be found on the GICS website from the following link: <http://www.gics.gi/eligibility.htm>*
- 4. Total exposure to GICS is the exposure the eligible clients reported represent to the scheme should the firm be declared in default. Where an eligible client investment exceeds €20,000, this investment should therefore be reported for that particular investment as €20,000 (given that this is the maximum exposure the investment represents to the Scheme). In cases where investments are below €20,000 then 90% of the total investment should be calculated. Once the relevant amounts have been calculated for the eligible investments, the total figure should be reported in this field. The amount should be reported in either Sterling or Euros and referenced accordingly.*