

## **Form VII**

### **(RULE 9)**

#### **SECURITIES EXCHANGES RULES, 2012**

#### **QUARTERLY STATISTICS TO BE SUBMITTED BY A LICENCED EXCHANGE**

##### Notes:

1. Please read the explanatory notes and questions carefully before completing the form.
2. All questions must be answered. If a question is not applicable, please mark “N.A.” in the space provided.
3. The licenced exchange should provide any additional information considered relevant or material to the various parts of this form.

#### **I. NEW LISTINGS, ISSUANCES AND DE-LISTINGS**

1. Provide the following information on new listings on the respective market or trading board of the licenced exchange and new admittances to the licenced exchange’s official list that have occurred in the last 3 completed months:
  - (a) The licenced exchange’s market or trading board (e.g. main board or secondary board) on which company is listed;
  - (b) The name of newly listed company;
  - (c) The country of incorporation of the newly listed company, and if different, the country of the newly listed company’s principal place of business;
  - (d) The newly listed company’s sector classification on the licenced exchange’s market or trading board (e.g. commerce; finance; multi-industry, etc.);
  - (e) The date of listing; and
  - (f) If applicable, the names of other exchanges which the newly listed company is also listed on.
2. Provide the following information on new issues or placement of securities on the market operated by the licenced exchange that have occurred in the last 3 completed months:
  - (a) The name of issuing company or entity;
  - (b) The type of issuance (e.g. new issue; secondary issue; private placement, etc.);

- (c) The type of securities issued (e.g. ordinary shares; preference shares; fixed income securities, etc.); and
  - (d) The details of the issuance (e.g. number of securities offered; issue price; tenor and interest rate for fixed income securities; ratio for rights issue; amount raised; last day of payment).
3. Provide the following information on the de-listings on the respective market or trading board of the licenced exchange and the licenced exchange's official list that have occurred in the last 3 completed months:
- (a) The licenced exchange's market or trading board (e.g. main board or secondary board) on which the delisted corporation was listed;
  - (b) The name of the delisted corporation;
  - (c) The country of incorporation of the delisted corporation, and if different, the country of the delisted corporation's principal place of business;
  - (d) The reasons for delisting;
  - (e) The date of delisting; and
  - (f) If applicable, the names of other exchanges which the delisted corporation is or was also listed on.

## **II. FOREIGN STOCKS, TRADING LINKAGES AND MARKET CAPITALISATION**

1. Provide the following information on foreign stocks listed on the respective market or trading board of the licenced exchange, on a monthly basis, for the last 3 completed months:
- (a) The turnover contributed by foreign stocks, by volume and value;
  - (b) The turnover contributed by foreign stocks, by volume and value, as a percentage of the turnover of the markets or trading boards that they are listed on;
  - (c) The top 20 most active foreign stocks, by volume and value;
  - (d) The market capitalisation contributed by foreign stocks;
  - (e) The market capitalisation contributed by foreign stocks, as a percentage of the market capitalisation of the markets or trading boards that they are listed on; and
  - (f) The top 20 largest foreign stocks, by market capitalisation, and their individual capitalisation as a percentage of the total market capitalisation.
2. Provide information on the turnover, by volume and value, of transactions done through trading linkages which the licenced exchange may have established with overseas exchanges.

3. Provide information on the frequency distribution of companies listed or quoted on each of the respective markets or trading boards, based on appropriate intervals of market capitalisation of such companies.