

THE CAPITAL MARKETS AND SECURITIES (REGISTERS OF INTERESTS IN SECURITIES) REGULATIONS

G.N. No. 415 of 1996

1. Citation

These Regulations may be cited as the Capital Markets and Securities (Registers of Interests in Securities) Regulations.

2. Interpretation

In these Regulations, unless the context requires otherwise—

"Act" means the Capital Markets and Securities Act ¹*;

"register" means a register of interests in securities required under section 51 of the Act.

3. Form of Registers

Every licensed dealer, dealers representative, investment adviser, investment representative and financial journalist shall maintain a register of securities in which he has an interest in the form prescribed in the Schedule to these Regulations.

4. Timing of Entry on Register

Particulars of the securities in which a person has an interest shall be entered in the register within twenty four hours of acquisition or disposal thereof.

**SCHEDULE
FORM OF REGISTERS
FORM APPLICABLE FOR DISCLOSURE OF INTERESTS IN SECURITIES OF
DEALERS AND DEALERS REPRESENTATIVES**

I
PURCHASES REGISTER

<i>Date</i>	<i>Name of Seller</i>	<i>Type and Description of Security</i>	<i>Amount Paid</i>	<i>Principal or Agent</i>

II
SALES REGISTER

<i>Date</i>	<i>Name of Buyer</i>	<i>Type and Description of security</i>	<i>Amount Paid</i>	<i>Principal or Agent</i>

**FORM APPLICABLE FOR DISCLOSURE OF INTERESTS IN SECURITIES OF
INVESTMENT ADVISERS AND REPRESENTATIVES**

<i>Date</i>	<i>Name of Client</i>	<i>Type and Description of Security</i>

**FORM APPLICABLE FOR DISCLOSURE OF INTERESTS IN SECURITIES OF
FINANCIAL JOURNALISTS**

<i>Date of Publication</i>	<i>Name of Journal or Newspaper</i>	<i>Title of Analysis</i>	<i>Volume or Number of Publication</i>
