

**EASTERN CARIBBEAN  
SECURITIES REGULATORY COMMISSION**



**LARGE TRANSACTIONS REPORTING FORM**

Pursuant to Section 15 (3) of the Securities (Conduct of Business) Regulation, 2001<sup>1</sup>, the table below is to be used by broker-dealers to report large transactions undertaken during a reporting period. This report is to be submitted within 10 working days of the end of each calendar quarter, and it should contain all large transactions undertaken during the quarter.

If there are no large transactions to be reported in a given period, broker-dealers are required to complete the form indicating “n/a” in each column of the first row.

Quarter ended:

- 31 March** .....  **30 June** .....  **30 September** .....  **31 December** .....  
year year year year

Customer Name	Securities Traded	Type of Security	Amount Bought	Amount Sold	Date

**Prepared by:**

.....  
*Name*

.....  
*Signature*

.....  
*Date*

**Reviewed by:**

.....  
*Name*

.....  
*Signature*

.....  
*Date*

<sup>1</sup>Section 15 (3) states that, ‘a customer transaction report must be submitted to the Commission in respect of any transaction involving a sum in excess of \$10,000’.