



Name of Proposed Licensee



CENTRAL BANK OF BAHRAIN

**Form 5:
Monthly Statistics to Be Submitted By a Licensed
Exchange Operating a Securities Market**

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Form 5: INSTRUCTIONS

1. Applicants must submit this Form under cover of a letter signed by an authorised signatory of the licensed exchange. Various supporting documentation – specified in the Form – must also be appended.
2. Complete all sections as fully as possible, attaching supporting documents and continuation sheets where appropriate. Attach annex(es) signed by the signatories, if there is insufficient space for your answers.
3. This form must be submitted within 10 business days from the end of the month.
4. All documentation provided to the CBB must be in either the Arabic or English languages. Any documentation in a language other than English or Arabic must be accompanied by a certified English or Arabic translation thereof.
5. The **original** completed form, together with supporting documentation, should be submitted to:

The Director, Capital Markets Supervision Directorate
Central Bank of Bahrain
PO Box 27
Manama
Kingdom of Bahrain
6. Queries may be addressed to the Director, Capital Markets Supervision Directorate, on +973 17 547907 (telephone), +973 17 532957 (fax) and ali@cbb.gov.bh (e-mail).
7. The licensed exchange should provide any additional information considered relevant or material to the various parts of this form.
8. If there are any changes in the information furnished in the form prior to the completion of the review of this form, the Central Bank of Bahrain (CBB) should be notified immediately.
9. Finally, applicants are also reminded that providing to the CBB any information which is false or misleading may result in the cancellation of any license issued.

Form 5: Section I – Transactions on Markets/Trading Boards

Provide the following information on transactions on the respective markets or trading boards of the licensed exchange in the last completed month:
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1. The turnover, by volume and value (with details on the number of trading days in the month; average daily or monthly turnover by volume and value; breakdown of turnover data by sectors, securities denominations, indices, etc.)

2. The top 20 most active stocks <u>actively traded securities</u> , by volume and value

3. The turnover on other relevant overseas exchanges (e.g. overseas exchange(s) which the licensed exchange has alliances with).
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4. Particulars of any unexpected or unusual volatility, volumes and activity
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Form 5: Section II – Transactions by Members

Submit information on transactions by members of the licensed exchange in the last month. For each member, provide the following details:
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1. Monthly aggregate buy/sell transactions:

2. Share held:

3. Ranking in terms of monthly market transaction(s):



Form 5: Section III – Listed/Quoted Companies

Provide the following information on the number of companies listed or quoted on the respective markets or trading boards of the licensed exchange as at the end of the last completed month:

1. The total number of companies listed or quoted and the market capitalization of these companies, broken down by sector classification, country of incorporation, and country of principal place of business:
2. The top 20 largest companies by market capitalisation, and their individual capitalisation as a percentage of the market capitalisation of the respective markets or trading boards: