

## CIRCULAR 45

**To:** PARTICIPATING INSTITUTIONS

**From:** NASD OTC Securities Exchange

**Date:** 22 DECEMBER 2020

**Subject:** CHANGE IN TEMPLATE FOR RENDITION OF QUARTERLY RETURNS

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All Participating Institutions (excluding Custodians and Issuing Houses) are hereby notified that NASD PLC has amended the template for 'Rendition of Quarterly Returns. This review is necessary to comply with industry standards. The amendment is to the reporting template named '**Internal Audit Report Form**' which has now been replaced with the template named '**Participating Institution Quarterly Disclosure Form**'

Please note that the excel template for filing Transaction Reports has not changed.

The new reporting template shall take effect from 01 January 2021. Kindly click the link below or visit our website to download same.

- [PI QUARTERLY DISCLOSURE REPORT.docx](#)
- [Quarterly-Transaction-Report-Format.xlsx](#)

Please endeavour to specify the name of your Firm whilst completing the templates as well as in saving the documents before forwarding electronic copies.

For further clarifications, kindly send an email to [legalcompliance@nasdng.com](mailto:legalcompliance@nasdng.com)

Thank you.

**NASD PLC**