

NAME OF FORM: SEC-MMRF10 – COLLECTIVE INVESTMENT SCHEME (CIS) TRANSACTIONS

REFERENCE NUMBER	AREA/ITEM	INSTRUCTIONS
	COLLECTIVE INVESTMENT SCHEMES PORTFOLIO TRANSACTIONS	<p>This form collects information on the transactions carried out by a Collective Investment Scheme (“CIS”) during the reporting period. It captures information on each purchase or sale of an asset by the CIS. It must be completed by reporting entities that manage or distribute CISs in Trinidad and Tobago. The Form must be completed for each CIS that is managed or distributed in Trinidad and Tobago. For a CIS issuing different classes of units, a separate CIS Transaction Form must be completed and submitted for each class of units.</p> <p>Unless otherwise stated all amounts are to be expressed in TTD.</p>
10000	Total CIS Transactions	This is a calculated field that automatically calculates the aggregate value of all transactions conducted by the CIS during the reporting period. This value is displayed at the bottom of Column L.
	Transaction Date (dd/mm/yyyy)	State the date on which the transaction was executed.
	Type of Transaction (Purchase/Sale)	State the unique transaction ID number generated for the transaction.
	Name of Issuer	State the legal name of the security issuer.
	Coupon	State the annual coupon rate paid by the fixed income security, where applicable. (For example, a Coupon Rate of 5.875% should be written as 5.875 and not 0.05875.)
	Maturity (dd/mm/yyyy)	State the date on which the security will mature, if applicable.
	Security Type (Equity/Fixed Income/Other)	State the type or category of security.
	Type	Select from the drop down menu whether the security has a fixed or floating rate, where the security cannot be classified as fixed or floating select Not Applicable.
	Category of Security	<p>This field is used to categorize the security or asset that was purchased or sold by the CIS. Select one of the following from the drop down menu:</p> <ul style="list-style-type: none"> • TT Government and Government Equivalent Securities; • Statutory Bodies and state owned non- financial securities; • TT Government Eurobonds; • TT Bonds Financial Sector;

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		<ul style="list-style-type: none"> • TT Other Corporate Bonds; • TT Equity; • TT CISs; • Foreign CISs; • Foreign Equity; • Foreign Government Bonds; • Foreign Non-Government Securities; • Repurchase Agreement; • Real Estate; or • Other.
	ISIN (if applicable)	State the ISIN or CUSIP number for the security, where applicable.
	Currency (TT, US, etc)	State the currency in which the transaction is denominated.
	Number of Units	State the total number of shares or nominal amount of the security held.
	Price per unit	State the market price per unit of the security at the end of the reporting period, if applicable.
	Rate	State the TT\$ conversion rate.
	Value (TT\$)	State the TT\$ equivalent of the value of the transaction.
	Nature of counterparty (Related Party, CIS, Registrant, Other)	<p>Select from the drop-down menu, the category of the person or entity who either sold the security to the CIS or bought the security from the CIS. The following categories are applicable:</p> <ul style="list-style-type: none"> • Related Party - this refers to any person or company that is connected to the CIS or the CIS Manager; • CIS – this refers to other Collective Investment Schemes; • Registrant – this refers to individuals or companies that are registered with the Commission as Broker-Dealers, Investment Adviser or Underwriters; or • Other refers to a person not falling within aforementioned categories.