

**FINANCIAL STATEMENTS AND OTHER INFORMATION TO BE SUBMITTED BY MEMBERS VIA SGX DATA SUBMISSION SYSTEM**

1. Details of information should be submitted via the Exchange's electronic submission system (SGX Data Submission System) or via such other modes that the Exchange considers appropriate. Submission via electronic submission system is in pre- defined Extensible Markup Language ("XML") format. A web interface is provided for the Member to log in and submit the files. The files received are auto-validated for accuracy and the Member will be informed by email whether its submissions have been successfully processed. A Member shall use the form at **Appendix 2A** to indicate the e-mail addresses it wants the messages sent to.
2. A Member that submits the required information via electronic submission system shall use the Excel templates available on the SGX Data Submission Website. The Excel templates and the accompanying XML formats can be downloaded from this website: <http://esub.sgx.com>. A copy of the user guide on the SGX Data Submission System is available to Members upon request.
3. A Member may develop its own applications to generate files in the XML format specified by the Exchange for submission. A copy of the detailed XML Design document and the XML format is available, upon request.

	<b>General Trading Member (Excluding those specified in FTR 2.4.1(b))</b>	<b>General Trading Member (who is also a Clearing Member of SGXDC)</b>	<b>General Trading Member (Specified in FTR 2.4.1(b)) or Bank Trading Member</b>	<b>Frequency</b>	<b>Timeline</b>
<b>RBC Financial Returns and Confirmation Report</b>	✓	✓		Monthly or as prescribed by SGX	14 <sup>th</sup> of the month, or as prescribed by SGX@
<b>Capital adequacy reports</b>			✓ (Head office or ultimate parent holding entity of BTM)	Quarterly	

<b>Credit Facilities</b> ***		✓		Monthly	10 <sup>th</sup> Business Day of the month.
<b>Reporting of Open Positions (Form BC3A)</b>	✓		✓	Daily	11.00am on the following Business Day
<b>Reporting of Account Identity (Form BC4A)</b>	✓	✓	✓	Ad Hoc	BC4A to be submitted within three (3) Business Days after a new account has commenced trading. BC4A for Trading Member (Individual) and Trading Representatives* (including those who are changing their qualifying Clearing Member) shall be submitted at least one (1) Business Day before they commence trading.
<b>Reporting of Large Positions in Non-SGX Contracts (Form BC5A) ***</b>		✓		Daily	3.00pm on the following Business Day.

\* For the purpose of this Appendix 2, "Trading Representatives" are dealers' representatives who are trading for their own account.

\*\*\* If separately required in accordance with the Clearing Rules.

@ There shall be imposed upon the Member a late fee of \$100 for each day that the returns are not submitted within the prescribed time and for which an extension of time has not been granted.