

**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) 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 shall submit the required information using 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.

	Trading Member	Trading Member (Introducing/ Executing Broker)	Trading Member (who is also a Clearing Member of SGX-DC)	Frequency	Timeline
Financial Returns					
Statement of Assets and Liabilities (Form 1)	✓	✓	✓	Monthly	14 th of the month
Statement of Financial Resources, Total Risk Requirement and Aggregate Indebtedness (Form 2)	✓	✓ (if separately required under the SGX-ST Rules)	✓		
Statement of Financial Resources and Total Risk Requirement (Form 5)		✓			
Statement of Profit and Loss (Form 6)	✓	✓	✓		

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Supporting Schedules* CRR 1 to 7 PRR 1 to 14 LER 1 to 2 URR 1	✓ (Only Applicable Schedules)		✓ (Only Applicable Schedules)		
Confirmation *	✓	✓	✓		
Credit Facilities **			✓	Monthly	10 th Business Day of the month.
Reporting of Open Positions (Form BC3A)	✓			Daily	11am on the following Business Day
Reporting of Account Identity (Form BC4A)	✓		✓	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 shall be submitted at least one (1) Business Day before they commence trading.
Reporting of Large Positions in Non – SGX Contracts (Form BC5A)**			✓	Daily	3.00pm on the following Business Day.

* in the form prescribed on the website at <http://esub.sgx.com>

** if separately required in accordance with the Clearing Rules.