#### GN 155/89 - Section 56 - 16 September 1989

- 1. These Rules may be cited as the Stock Exchange (Register of Interests in Securities) Rules 1989.
- 2. In these Rules-

"Act" means the Securities Act 2005;

"relevant person" means-

- (a) an investment dealer;
- (b) a representative of an investment dealer;
- (c) an officer or employee of an investment dealer;
- (d) an officer or member of staff of a securities exchange.

3. (1) Every relevant person shall-

- (a) maintain a register in the form specified in the Schedule; and
- (b) enter therein any interest he has in any securities.
- (2) Every entry shall be made-
  - (a) with regard to any securities acquired or disposed of after the 21 September 1989 within 3 days of such acquisition or disposal
  - (b) with regard to any securities acquired or disposed of before 21 September 1989, within 15 days of the publication of these regulations.
- 4. (1) The register specified in rule 3 shall be kept at the Commission in such manner as the Commission may think fit.
  - (1) The Commission shall provide reasonable facilities to enable the relevant person to make the necessary entries as specified in rule 3.

## Schedule

### (rule 3)

# **Register of Interests in Securities**

| Full name                      |
|--------------------------------|
| Name of Investment Dealer      |
| Relevant Occupation / Position |

### Particulars for each Security

| Type of<br>Security | Issued<br>by | No. of<br>Securities | Date<br>acquired | Person<br>acquired<br>from | Consideration<br>Paid | Date<br>disposed<br>of | Person<br>acquiring<br>Securities | Consideration<br>Obtained | Investment<br>Dealer<br>through<br>which<br>transaction<br>took place |
|---------------------|--------------|----------------------|------------------|----------------------------|-----------------------|------------------------|-----------------------------------|---------------------------|---|
|                     |              |                      |                  |                            |                       |                        |                                   |                           |   |
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