

SEC/QR/4

**SECURITIES AND EXCHANGE COMMISSION
QUARTERLY RETURNS FROM REGISTRAR**
AS AT -----

(This return must be made, latest, by the end of the first month of the succeeding quarter. Late returns would attract statutory penalty)

1. **Name of Company:** -----
2. **Address:** -----
3. **Telephone/Fax Number(s):** -----
4. **Date of last renewal of Registration with SEC:** -----
5. **Capital:**
 - a) **SEC prescribed capital for function:** -----
 - b) **Paid-up Capital:** -----
 - c) **Reserves:** -----
 - d) **Shareholders Fund:** -----

6. **List names of individuals who own substantial shares in your company (5% & above)**

Name	Shareholding	%

7.
 - a) Any change of Directors? Yes/No
If yes, give details : -----
 - b) Have you notified the Commission? Yes/no
 - c) If yes, please give date of notification: -----
8.
 - a) Any change in Registered Personnel? Yes/No
If yes, give details (such as names and reasons for change):

b) Has the Commission been notified: Yes/No

9. **Training:** Provide number of staff trained in the quarter: -----

Give brief description of training program(s):-----

10. Provide number of employees who left your company: -----

Reasons for leaving: -----

11. Litigations:

i. Any litigation(s) against the company? Yes No

ii. If yes give details of the litigation(s): -----

12. State number of board meeting(s) held in the quarter:-----

13. Attach management accounts for the quarter to be certified by the chief executive officer and financial controller containing:

- Profit and loss account
- Balance sheet
- Notes to the accounts

14. List all your clients and indicate number of shareholders on each register:-----

15. New Clients:

i) Did your company take on new clients in the quarter? Yes No

ii) If yes, provide list:-----

iii) Was the Change of Registrars form completed?

Yes No

(Note that failure to complete the form would attract penalty)

16. Provide details of return monies (surplus/rejected) in the manner presented below:

S/N	NAME OF COMPANY	AMOUNT RECEIVED	DATE OF RECEIPT	AMOUNT PAID THIS QUARTER	TOTAL PAYMENT MADE	UNCLAIMED AMOUNT
		₦		₦	₦	₦

					INVESTORS		
						INSTITUTIONAL	INDIVIDUAL

NOTE: If the company has not made the full amount available for dividend payment, please give reason(s):

21 . UNCLAIMED DIVIDENDS (DIVIDENDS UNCLAIMED AFTER 6 MONTHS)

22. PAYMENTS TO DEBT INSTRUMENT HOLDERS

ISSUER OF DEBT INSTRUMENT	TOTAL VALUE OF DEBT	SPECIFY PERIOD FOR REDEMPTION AS CONTAINED IN TRUST DEED	AMOUNT REDEEMED IN THE QUARTER	UNREDEEMED AMOUNT	PERIOD FOR PAYMENT OF INTEREST AS CONTAINED IN TRUST DEED	INTEREST RATE	TOTAL INTEREST DUE TO HOLDERS	TOTAL INTEREST PAID	INTEREST UNCLAIMED AFTER SIX MONTHS
	N		N	N		%	N	N	N

23. Verification:

S/ N	NAME OF CLIENT COMPANY	DIVIDEND NUMBER	AMOUNT OF DIVIDEND DECLARED	TOTAL DIVIDEND PAID OUT THIS QUARTER	TOTAL DIVIDEND PAID TO DATE	DATE OF PAYMENT	UNPAID DIVIDEND (UNCLAIMED DIVIDEND)	TOTAL AMOUNT RETURNED TO COY AFTER 15 MONTHS	DATE RETURNED TO COMPANY
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Provide information of verification of certificates:

- i) number of verifications outstanding at the beginning of the quarter XX
- ii) number of verifications requests received in the quarter XX
- iii) number of verifications successfully concluded in the quarter XX
- iv) number of verifications requiring investors attention XX
- v) uncompleted verifications (work in progress) XX

25. Complaints profile:

- Number of complaints brought forward: XX
- Complaints received in the quarter:

- From shareholders	XX
- Referred by SEC/NSE/CSCS	XX
Number treated:	XX
Outstanding:	XX

Give reasons for failure to treat all complaints: -----

26. Any fraud detected in your organization during the period? Yes/No
 If yes, state the nature and how it was resolved: -----

27. **Certification:**
 Return prepared by: -----
 Signature: -----

Name & signature of Approving officer

Status: -----

STAMP AND DATE

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SCHEDULE TO REGISTRARS RETURNS

PROFIT AND LOSS ACCOUNT FOR THE QUARTER ENDED -----

		This Quarter	Last Quarter	Year to date
		N	N	N
Gross Earnings	1			
Less: Operating Expenses	2			
Profit/(Loss) before taxation				
Taxation				
Retained Profit/(loss) c/fwd				

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SCHEDULE TO REGISTRARS RETURNS

BALANCE SHEET FOR THE QUARTER ENDED -----

	Notes	This Quarter	Last Quarter	Year to date
		N	N	
Assets				
Cash and short term funds	3			
Investments	4			
Other assets	5			
Fixed assets	6			
Sub-total		<hr/>	<hr/>	<hr/>
Liabilities				
Dividends under management	7			
Other liabilities	8			
Total		<hr/>	<hr/>	<hr/>
Capital and Reserves				
Share capital	9			
General reserve	10			

Other Reserves (list)	11	_____	_____	_____
Total		_____	_____	_____

NOTE: Detailed information must be provided for each note to the accounts

Notes to the Accounts

Note 1.	This quarter	Last quarter	Year to date
	₱	₱	₱

Gross Earnings

Capital market activities:
(List all capital market activities and
Resulting income generated)
Non-capital market activities:
(List items and income generated)
Total

-----	-----	-----
-----	-----	-----

Note 2 Expenses

This quarter	Last quarter	Yr to date
₱	₱	₱

All Expenses must be listed:

-----	-----	-----
-----	-----	-----

Note 3 Cash and Short Term Funds

This Quarter	Last Quarter	Yr to date
N	N	N

Own funds (List banks and balances)
Bank balances (including fixed deposits)
(Attach bank reconciliation statements)
Cash – in - Hand
Sub-total

-----	-----	-----
-----	-----	-----

Clients funds:
Bank balances

(List banks and balances)

(attach bank reconciliation statements)

Sub-total	-----	-----	-----
	-----	-----	-----
Total	=====		=====

Note 4 Investments

	This Quarter N	Last Quarter N	Yr to date N
Own Investments			
<u>Capital market activities (Disclose cost and market value in the schedules)</u>			
Federal/State govt. loans stocks (appendix 1)			
Industrial loans stocks (appendix 11)			
Quoted Equities (appendix 111)			
Sub-total	-----	-----	-----
	-----	-----	-----
Money market and other activities (Specify each item)			
Sub- total	-----	-----	-----
	-----	-----	-----
Unquoted Investments (list)			
	-----	-----	-----
Clients Investments under Management			
+ Capital Market Investment			
+ Money Market Investment			
Sub-total	-----	-----	-----
	-----	-----	-----
Total	=====	=====	=====

Note 5 Other Assets

	This Quarter N	Last Quarter N	Yr to date N
Capital market related: (specify)			
Non-capital market related: (specify)			
General:			
- staff loans			
- prepayment			
Others (specify)			
	-----	-----	-----
Sub-total	-----	-----	-----
	-----	-----	-----
Grand Total	=====	=====	=====

Note 6 Fixed Assets

	Equipment & machinery N	Furniture & fitting N	Motor vehicle N	Specify any other fixed assets N	Total N
Cost/ Valuation B/fwd					
Additions					
Sub-total					
Disposal					
Total					
Depreciation B/fwd					
Depreciation Charge for the quarter					
Depreciation charge on disposal (if any)					
Accumulated depreciation					
Present Net book value					
Previous Net book value					

Note 7. Dividends Under Management

	This quarter N	Last quarter N	Yr to date N
List Clients and dividends under management:			
Total	----- -----	----- -----	----- -----

Note 8. Other liabilities

Taxation			
Bank overdrafts			
(Provide list of individual banks and balances)			
Others (Please Specify)	----- -----	----- -----	----- -----

Note 9. Share capital

Authorized	=====	=====	=====
Issued and fully paid	-----	-----	-----
Total	-----	-----	-----

Note 10. General reserve

Brought forward

Profit/(loss) for the quarter

Balance Carried Forward

Note 11. Other Reserves

Please specify any other reserves:

Total
