

Appendix 3

MONTHLY SURVEILLANCE REPORT

(This is in compliance with Rule 22) of Stock Exchanges Surveillance Rule, 2012. The report must be submitted 15 days after the end of the month)

Return for the month endingfiled ondaymonthyear

| | Details | ACTION TAKEN |
|--|----------------|---------------------|
| New investigations | | |
| Ongoing investigations | | |
| Closed investigations with resolution | | |
| Misappropriation of clients funds/securities | | |
| Misrepresenting in advertising | | |
| Misrepresentation in clients statements | | |
| Negotiated trades | | |
| Automatic sanctions | | |
| Insider trading | | |
| Churning | | |
| Front running | | |
| Pump and Dump | | |
| Cornering | | |
| Abuse of priority rule | | |
| Corrective actions for compliance | | |
| Client and Members complaints | | |

| | | |
|-----------------------------|--|--|
| New LDMs and ADOs | | |
| Corporate news and releases | | |
| New listings | | |

Summary of irregularities *(from daily surveillance report)*

Summary of market events *(from daily surveillance report)*

Reviews

Price and Volume reviews. (attach monthly statistics report)

Please note that these will be inspected during on-site surveillance.

DECLARATION

I/We certify that the above information is true and accurate

Name:

Designation:

Date:

Attachment A

DAILY ALERT FORM

Name of the Security _____ Trading Symbol _____

Date and Time of the Computer Alert _____

Type of Alert _____

Name of Analyst Conducting Review _____

Current Price and Volume Data _____

Summary of Actions Taken:

Conclusion:

Final Disposition:

Closed _____ Date

Or

Referred to _____ Date

