

## Appendix 2

In this Appendix underlining indicates new text and striking through indicates deleted text.



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# The DFSA Rulebook

Prudential – Investment, Insurance  
Intermediation and  
Banking Module

**(PIB)**

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## **2 GENERAL REQUIREMENTS**

### **Introduction**

#### **Guidance**

This chapter details the threshold conditions for the mandatory maintenance of a Trading Book, periodic prudential reporting requirements to the DFSA, and guidance on prudent valuation practices. Appendix 2 includes detailed Rules on the positions to be included in the Trading Book, the valuation of such positions, prudent valuation practices and associated issues related to the identification and treatment of Trading Book positions. Appendix 2 also specifies the DFSA's expectations with regard to the need for a documented Trading Book policy and risk management systems and controls for the Trading Book. Appendix 2 also presents in a tabular fashion, detailed specifications on periodic prudential reporting requirements for different categories of Authorised Firms.

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### **2.3 Reporting to the DFSA**

**2.3.1** (1) An Authorised Firm must comply with the accounting and prudential reporting requirements set out in this chapter and PRU which apply to it.

(2) The DFSA may impose additional reporting requirements on an Authorised Firm.

**2.3.2** An Authorised Firm must, subject to Rule 2.3.3:

(a) prepare its returns in accordance with the Rules in this chapter, the instructional guidelines in PRU, and the requirements of the DFSA's electronic prudential reporting system; and

(b) submit the returns to the DFSA using the electronic prudential reporting system.

#### **Guidance**

The returns and instructional guidelines are provided in PRU and the DFSA's electronic prudential reporting system.

- 2.3.3** The DFSA may by way of a written notice direct an Authorised Firm to submit its returns in a form, manner or frequency other than as prescribed in Rule 2.3.2. An Authorised Firm must continue to submit its returns in accordance with this direction until the DFSA by way of written notice directs otherwise.
- 2.3.4**
- (1) The submission of any return must be accompanied by a Form B100 (Declaration by Authorised Firms) signed by the Authorised Firm in the manner set out in (2) or (3) as applicable.
  - (2) In relation to an annual return the form must be signed by two officers of the Authorised Firm each of whom is a Director, Partner or individual previously approved by the DFSA for that purpose.
  - (3) In relation to a quarterly return the form must be signed by one officer of the Authorised Firm who is a Director, Partner or individual previously approved by the DFSA for that purpose.
- 2.3.5** An original signed hard copy of Form B100 (Declaration by Authorised Firms), together with a copy of the return submitted to the DFSA must be kept for at least 6 years for inspection by the DFSA.
- 2.3.6** If the DFSA notifies an Authorised Firm, or the Authorised Firm itself forms the view, that a return that has been submitted to the DFSA appears to be inaccurate or incomplete, the Authorised Firm must consider the matter and within a reasonable time it must correct any inaccuracies and make good any omissions, and re-submit the relevant parts of the return.
- 2.3.7**
- (1) An Authorised Firm must prepare and submit returns in accordance with Table 1 in section A2.4 of App2, which forms part of these Rules.
  - (2) All returns must be completed in thousands of dollars (\$).
- 2.3.8**
- (1) An Authorised Firm must submit to the DFSA any annual return required by Table 1 in section A2.4 of App2, within four months of the end of the Authorised Firm's financial year.
  - (2) An Authorised Firm must submit to the DFSA any other return required by Table 1 in section A2.4 of App2, within one month after the end of the reporting period to which the return relates.

*[The above section is not being amended but is included for reference only.]*

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## **A2.4 Reporting to the DFSA**

### **A2.4.1** In the following Table 1:

- (a) the column headed 'Domestic Firm or Branch' indicates whether the relevant form must be prepared and submitted by a Domestic Firm or Branch;
- (b) the column headed 'Authorised Firm Category' indicates which Category of Authorised Firm must prepare and submit the relevant form;
- (c) the column headed 'Frequency' indicates whether the relevant form must be prepared and submitted on a quarterly or annual basis; and
- (d) the column headed 'Semi-annual consolidated reporting for Financial Groups' indicates which Category of Authorised Firm of a Financial Group must prepare and submit the relevant form on a semi-annual basis.

#### **Guidance**

Table 1 is referred to in section 2.3, and forms part of the Rules.

*[The above Rule is not being amended but is included for reference only.]*

**Table 1 Authorised Firm Reporting Matrix**

Form Number	Form Name	Domestic Firm or Branch	Authorised Firm Category	Frequency	Semi-annual consolidated reporting for Financial Groups
B10A	Assets	Domestic Firm and Branch	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Category 1, 2
B10B	OBS Exposures	Domestic Firm and Branch	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Category 1, 2
B10C	Liabilities (Domestic)	Domestic Firm	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Category 1, 2
B10D	Equity	Domestic Firm	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Category 1, 2
B10E	Liabilities (Branch)	Branch	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Not applicable
B20A	Assets	Domestic Firm and Branch	Category 5 only	Quarterly and annually	Category 5
B20B	OBS Exposures	Domestic Firm and Branch	Category 5 only	Quarterly and annually	Category 5
B20C	Liabilities (Domestic)	Domestic Firm	Category 5 only	Quarterly and annually	Category 5
B20D	Equity	Domestic Firm	Category 5 only	Quarterly and annually	Category 5
B20E	Liabilities (Branch)	Branch	Category 5 only	Quarterly and	Not applicable

<b>Form Number</b>	<b>Form Name</b>	<b>Domestic Firm or Branch</b>	<b>Authorised Firm Category</b>	<b>Frequency</b>	<b>Semi-annual consolidated reporting for Financial Groups</b>
				annually	
B20F	Analysis of Reserve Movement	Domestic Firm	Category 5 only	Quarterly and annually	Category 5
B30	Profit and Loss	Domestic Firm and Branch	Category 1, 2, 3A, 3B, 3C and 4	Quarterly and annually	Category 1, 2
B40	Income Statement - Islamic Financial Institutions	Domestic Firm and Branch	Category 5 only	Quarterly and annually	Category 5 only
B50	Expenditure Based Capital Minimum (ECBM)	Domestic Firm	Category 2, 3A, 3B, 3C and 4	Quarterly and annually	Not applicable
B60	Capital Resources calculation	Domestic Firm	All Categories	Quarterly and annually	Category 1, 2 and 5
B60A	Credit Risk – Overview	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2
B60A1	Credit Risk – Balance sheet Exposures	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2
B60A2	Credit Risk – Counterparty Exposures	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5

<b>Form Number</b>	<b>Form Name</b>	<b>Domestic Firm or Branch</b>	<b>Authorised Firm Category</b>	<b>Frequency</b>	<b>Semi-annual consolidated reporting for Financial Groups</b>
B60A3	Credit Risk – Securitisation	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5
B60B	Market Risk – Overview	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5
B60B1	Market Risk – Interest Rate Risk	Domestic Firm	Category 1, 2, 3A	Quarterly and annually	Category 1, 2
B60B2	Market Risk – Maturity Approach	Domestic Firm	Category 1, 2, 3A	Quarterly and annually	Category 1, 2
B60B3	Market Risk Duration Approach	Domestic Firm	Category 1, 2, 3A	Quarterly and annually	Category 1, 2
B60B4	Market Risk – Equity	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5
B60B5	Market risk – Currency	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5
B60B6	Market Risk Options and Commodities	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2
B60B7	Market risk – VAR	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2, and 5
B60C	Operational Risk	Domestic Firm	Category 1, 2, 3A and 5	Quarterly and annually	Category 1, 2 and 5

<b>Form Number</b>	<b>Form Name</b>	<b>Domestic Firm or Branch</b>	<b>Authorised Firm Category</b>	<b>Frequency</b>	<b>Semi-annual consolidated reporting for Financial Groups</b>
B70	Large Exposure	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly only	Category 1, 2 and 5
B80	Liquidity	Domestic Firm and Branch	Category 1 and 5	Quarterly only	Not applicable
B90	Liquidity Coverage Ratio	Domestic Firm and Branch	Category 1 and 5	Quarterly and annually	Not applicable
B95	Net Stable Funding Ratio (NSFR)	Domestic Firm	Category 1 and 5	Quarterly and annually	Not applicable
B100	Declaration by Authorised Firms	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable
B120	Interest Rate Risk in the Non-Trading Book	Domestic Firm and Branch	Category 1 and 2	Quarterly and annual	Category 1 and 2
B130	Credit Activity	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Not applicable
B140	Arrears and Provisions	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Category 1 and 5
B150	Loans Restructured	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Category 1 and 5
B160	Investment activity	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Not applicable



<b>Form Number</b>	<b>Form Name</b>	<b>Domestic Firm or Branch</b>	<b>Authorised Firm Category</b>	<b>Frequency</b>	<b>Semi-annual consolidated reporting for Financial Groups</b>
B170	Investment Fair Value	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Not applicable
B180	FX Exposure	Domestic Firm and Branch	Category 1, 2, 3A and 5	Quarterly and annually	Not applicable
B190	Funding Schedule	Domestic Firm and Branch	Category 1, 2 and 5	Quarterly and annually	Not applicable
B200	Funding concentration	Domestic Firm and Branch	Category 1, 2 and 5	Quarterly and annually	Not applicable
B210	Wealth Management	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable
B220	Fund and Account Management Services  Schedule of Custody and Asset Management	Domestic Firm and Branch	All Categories	Quarterly and annually  Annual	Not applicable
B230	Dealing overview and personnel	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable
B240	Dealing and Arranging	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable

<b>Form Number</b>	<b>Form Name</b>	<b>Domestic Firm or Branch</b>	<b>Authorised Firm Category</b>	<b>Frequency</b>	<b>Semi-annual consolidated reporting for Financial Groups</b>
B250	Outward Remittance	Domestic Firm and Branch	Category 1 and 5	Quarterly and annual	Not applicable
B260	Inward Remittance	Domestic Firm and Branch	Category 1 and 5	Quarterly and annual	Not applicable
B270	Insurance Intermediation and Underwriting  Schedule of Insurance monies	Domestic Firm and Branch	Any Category of Authorised Firm licensed as an Insurance Intermediary or Insurance Manager	Quarterly and annual  Annual	Not applicable
B280	Staffing and Conduct	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable
B290	Related Person Schedule	Domestic Firm and Branch	All Categories	Quarterly and annually	Not applicable
B300	Leverage Ratio	Domestic Firm	Category 1, 2 and 5	Quarterly and annually	Not applicable

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B10A</u>	<u>Assets</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B10B</u>	<u>Liabilities (Domestic)</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B10B</u>	<u>Liabilities (Branch)</u>	<u>Branch</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B10C</u>	<u>Equity</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B10D</u>	<u>OBS Exposures</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B20A</u>	<u>Assets – IFI</u>	<u>Domestic Firm and Branch</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B20B</u>	<u>Liabilities (Domestic) – IFI</u>	<u>Domestic Firm</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B20B</u>	<u>Liabilities (Branch) – IFI</u>	<u>Branch</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B20C</u>	<u>Equity- IFI</u>	<u>Domestic Firm</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B20D</u>	<u>OBS Exposures – IFI</u>	<u>Domestic Firm and Branch</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B20E</u>	<u>Analysis of Reserve Movement – IFI</u>	<u>Domestic Firm</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B30</u>	<u>Related Party Schedule</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B40A</u>	<u>Profit and Loss</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B40B</u>	<u>Statement of Comprehensive Income</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A, 3B, 3C and 4</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B50A</u>	<u>Profit and Loss - IFI</u>	<u>Domestic Firm and Branch</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B50B</u>	<u>Statement of Comprehensive Income - IFI</u>	<u>Domestic Firm and Branch</u>	<u>Category 5</u>	<u>Quarterly and annually</u>	<u>Category 5</u>
<u>B100</u>	<u>Declaration by Authorised Firms</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B110</u>	<u>Capital Ratios</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B120</u>	<u>Capital Resources</u>	<u>Domestic Firm</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B130</u>	<u>Credit Risk – Overview</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B130A</u>	<u>Credit Risk – Balance sheet Exposures</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B130B</u>	<u>Credit Risk – Counterparty Exposures</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B130C</u>	<u>Credit Risk - Securitisation</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B140</u>	<u>Market Risk – Overview</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B140A</u>	<u>Market Risk – Interest Rate Risk</u>	<u>Domestic Firm</u>	<u>Category 1, 2 and 3A</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B140B</u>	<u>Market Risk – IRR Maturity Approach</u>	<u>Domestic Firm</u>	<u>Category 1, 2 and 3A</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B140C</u>	<u>Market Risk – IRR Duration Approach</u>	<u>Domestic Firm</u>	<u>Category 1, 2 and 3A</u>	<u>Quarterly and annually</u>	<u>Category 1 and 2</u>
<u>B140D</u>	<u>Market Risk - Equity</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B140E</u>	<u>Market risk – FX Risk</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B140F</u>	<u>Market Risk Options and Commodities</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B140G</u>	<u>Market risk – VAR</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B150</u>	<u>Operational Risk</u>	<u>Domestic Firm</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B180</u>	<u>Expenditure Based Capital Minimum</u>	<u>Domestic Firm</u>	<u>Category 2, 3A, 3B and 4</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B190</u>	<u>Leverage Ratio</u>	<u>Domestic Firm</u>	<u>Category 1, 2 and 5</u>	<u>Quarterly and annually</u>	<u>Category 1, 2 and 5</u>
<u>B210</u>	<u>Liquidity</u>	<u>Domestic Firm and Branch</u>	<u>Category 1 and 5</u>	<u>Quarterly only</u>	<u>Category 1 and 5</u>
<u>B220</u>	<u>Liquidity Coverage Ratio</u>	<u>Domestic Firm and Branch</u>	<u>Category 1 and 5</u>	<u>Quarterly and annually</u>	<u>Category 1 and 5</u>
<u>B230</u>	<u>Net Stable Funding Ratio</u>	<u>Domestic Firm</u>	<u>Category 1 and 5</u>	<u>Quarterly and annually</u>	<u>Category 1 and 5</u>
<u>B240</u>	<u>Funding Schedule</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2 and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B250</u>	<u>Funding Concentration</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2 and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B260</u>	<u>Interest Rate Risk in the Non-Trading Book</u>	<u>Domestic Firm and Branch</u>	<u>Category 1 and 2</u>	<u>Quarterly only</u>	<u>Category 1 and 2</u>

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B270</u>	<u>Currency Exposure</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B280</u>	<u>Outward and Inward Remittances</u>	<u>Domestic Firm and Branch</u>	<u>Category 1 and 5</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B310</u>	<u>Large Exposure</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B320</u>	<u>Arrears and Provisions</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B330</u>	<u>Forborne Exposures</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2 and 5</u>	<u>Quarterly only</u>	<u>Category 1, 2 and 5</u>
<u>B340</u>	<u>Credit Activity</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Not applicable</u>
<u>B350</u>	<u>Trade Finance Activity</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Not applicable</u>
<u>B360</u>	<u>Islamic Product Activity</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Not applicable</u>
<u>B370</u>	<u>Investment Activity</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Not applicable</u>
<u>B380</u>	<u>Investment Fair Value</u>	<u>Domestic Firm and Branch</u>	<u>Category 1, 2, 3A and 5</u>	<u>Quarterly only</u>	<u>Not applicable</u>

**PRUDENTIAL – INVESTMENT, INSURANCE INTERMEDIATION AND BANKING (PIB)**

<u>Form Number</u>	<u>Form Name</u>	<u>Domestic Firm or Branch</u>	<u>Authorised Firm Category</u>	<u>Frequency</u>	<u>Semi-annual consolidated reporting for Financial Groups</u>
<u>B410</u>	<u>Advisory</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B420</u>	<u>Asset Management</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B430</u>	<u>Dealing overview and personnel</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B440</u>	<u>Dealing and Arranging</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B450</u>	<u>Staffing and Conduct</u>	<u>Domestic Firm and Branch</u>	<u>All Categories</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>
<u>B510</u>	<u>Insurance Intermediation or Management</u>	<u>Domestic Firm and Branch</u>	<u>Any Category of Authorised Firm licensed as an Insurance Intermediary or Insurance Manager</u>	<u>Quarterly and annually</u>	<u>Not applicable</u>