



ANNUAL REPORT ON CHINESE WALL RULES (SRC Rule 34.11)
For the Year _____

Broker Dealer Name: _____

1. Check the applicable boxes:

☐ Broker ☐ Dealer ☐ Mutual Fund Distributor ☐ Others _____ _____	Deal with: <table style="width: 100%;"> <tr> <td>☐ Equity Securities</td> <td>☐ Proprietary Shares</td> </tr> <tr> <td>☐ Fixed Income/Debt Securities</td> <td>☐ Non-Proprietary Shares</td> </tr> <tr> <td>☐ Government Securities</td> <td>☐ Mutual Fund</td> </tr> </table> Do you have any of the following: <table style="width: 100%;"> <tr> <td>☐ Retail Sales</td> <td>☐ Research</td> <td>☐ Settlement</td> <td>☐ Others, _____</td> </tr> <tr> <td>☐ Institutional Sales</td> <td>☐ Advisory</td> <td>☐ Accounting</td> <td></td> </tr> </table>	☐ Equity Securities	☐ Proprietary Shares	☐ Fixed Income/Debt Securities	☐ Non-Proprietary Shares	☐ Government Securities	☐ Mutual Fund	☐ Retail Sales	☐ Research	☐ Settlement	☐ Others, _____	☐ Institutional Sales	☐ Advisory	☐ Accounting	
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2. What are the distribution units in the flow of information in the company? Indicate the persons in charge.

3. What are the procedures in handling the flow of information between the different units in the company?

4. What are the policies in terms of getting the advance information from the research unit vs. the dealer's unit?

5. What are the policies and procedures when employees of another unit are "brought over the wall"?

6. What are the measures undertaken so that the information are not misuse?

7. Has there been any instance in the year covered that there was a violation/attempt to violate SRC Rule 34.11? Provide the details.

8. What has been done to enhance the Chinese Wall Policy of the company?

9. How are policies and procedures relating to Chinese Wall and the use of material non-public information made aware to employees? Are trainings/updates to employees conducted? Give details.

10. Provide information on other policies/procedures relevant to Chinese Wall that were not mentioned above.

Prepared by: _____
Signature over printed name

Date: _____

Designation: _____

Approved by: _____
Signature over printed name

Date: _____

Designation: _____