



CAPITAL MARKET UNIT
REGULATORY DEPARTMENT, AUTORITI MONETARI BRUNEI DARUSSALAM

NO. OF REGISTERED LICENCE HOLDER UNDER CAPITAL MARKET UNIT

COMPANIES LICENSED UNDER SECURITIES MARKETS ORDER, 2013

No.	LICENSEE	As at 5 April 2019	
		No. of licence	No. of licence according to regulated activities
1	Capital Markets Services Licence	10	15
1.1	<i>Dealing and/or arranging deals and transactions in investment as principal or agent</i>		3
1.2	<i>Safekeeping and administration of assets including custodial services</i>		0
1.3	<i>Managing investments including CIS management and/or establishing, operating or winding up a CIS</i>		3
1.4	<i>Investment advice as an investment adviser</i>		5
1.5	<i>Investment advice as a financial planner</i>		3
1.6	<i>Using computer based systems for giving investment instructions</i>		1
2	Capital Markets Services Representative Licence	137	175
2.1	<i>Dealing and/or arranging deals and transactions in investment as principal or agent</i>		11
2.2	<i>Dealing and arranging deals in Investments as principle or agent (Limited to dealing in units in Collective Investment Scheme and Investment-linked Insurance Contract).</i>		24
2.3	<i>Dealing and arranging deals in Investments as principle or agent (Limited to dealing in units in Collective Investment Scheme).</i>		5
2.4	<i>Managing investments including CIS management and/or establishing, operating or winding up a CIS</i>		6
2.5	<i>Investment advice as an investment adviser</i>		6
2.6	<i>Investment advice as a financial planner</i>		118
2.7	<i>Using computer based systems for giving investment instructions</i>		5
3	Collective Investment Schemes Licence	13	
4	Recognized Operator of Foreign Trading Facility	1	

NOTIFICATION OF CESSATION FOR COMPANY LICENCE UNDER SECURITIES MARKETS ORDER, 2013