



**CAPITAL MARKET UNIT**  
**REGULATORY DEPARTMENT, AUTORITI MONETARI BRUNEI DARUSSALAM**

**NO. OF REGISTERED LICENCE HOLDERS UNDER CAPITAL MARKET UNIT**

**COMPANIES LICENSED UNDER SECURITIES MARKETS ORDER, 2013**

No.	LICENSEE	As at 11 December 2019	
		No. of licence	No. of licence according to regulated activities
1	<b><u>Capital Markets Services Licence</u></b>	8	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>		4
1.4	<i>Investment advice as an investment adviser</i>		3
1.5	<i>Investment advice as a financial planner</i>		4
1.6	<i>Using computer based systems for giving investment instructions</i>		1
2	<b><u>Capital Markets Services Representative Licence</u></b>	144	182
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>		11
2.5	<i>Investment advice as an investment adviser</i>		3
2.6	<i>Investment advice as a financial planner</i>		123
2.7	<i>Using computer based systems for giving investment instructions</i>		5
3	<b><u>Collective Investment Schemes Licence</u></b>	21	
4	<b><u>Recognized Operator of Foreign Trading Facility</u></b>	1	

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