



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 1st MARCH 2018	
		No. of licence	No. of licence according to regulated activities
1	Capital Markets Services Licence	10	14
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>		1
1.4	<i>Investment advice as an investment adviser</i>		6
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	168
2.1	<i>Dealing and/or arranging deals and transactions in investment as principal or agent</i>		8
2.2	<i>Dealing and arranging deals in Investments as principle or agent (Limited to dealing in Unit Trust products only).</i>		25
2.3	<i>Managing investments including CIS management and/or establishing, operating or winding up a CIS</i>		3
2.4	<i>Investment advice as an investment adviser</i>		17
2.5	<i>Investment advice as a financial planner</i>		111
2.6	<i>Using computer based systems for giving investment instructions</i>		4
3	Collective Investment Schemes Licence	11	
4	Recognized Operator of Foreign Trading Facility	1	

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