

# Annexure 3A: Monthly Surplus Liquid Capital Return

## References

Chapter 3, SIM VSE Business Rules

Name of Exchange Broker \_\_\_\_\_

Dealers Licence Number \_\_\_\_\_

Month and Year \_\_\_\_\_

ASIC Licence Condition Summary:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

	\$A	Comments
Current Assets	A	
Exchange Approved Inclusions	B	
Sub Debt	C	
Total Liabilities	D	
Excluded Assets	E	
Surplus Liquid Assets (A+B+C-D-E)	T	
Adjusted Liabilities	AL	
Surplus Liquid Capital as a percentage of Adjusted Liabilities (T/AL)	%	

I/We certify that the above information and notes attached are to the best of my/our knowledge a true and correct summary of the Surplus Liquid Capital calculation:

Signed: \_\_\_\_\_  
(Exchange Broker) (Authorised Signatory)

Print name: \_\_\_\_\_

Address of Exchange Broker: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dated: \_\_\_\_\_