

<b>Returns &amp; Submissions</b>			
<b>Stockbrokers</b>			
<b>Regular Returns/Submissions</b>	<b>Frequency</b>	<b>Licence Category</b>	<b>Submission Deadline</b>
		<b>Cat 5</b>	
<b>Annual Compliance Return/Review</b>			Submission deadlines relates to the period after the 'Annual Accounting Reference Date'
Audited Financial Statements (inc. detailed P&L; Balance Sheet)	Annually	Yes	3 months
Annual Reporting Statement	Annually	Yes	3 months
Auditor's Report	Annually	Yes	3 months
Internal Control Letter	Annually	Yes	5 months
Annual Reconciliation	Annually	Yes	3 months
Subsidiary's Accounts	Annually	Yes	3 months
Amount of Funds Under Management	Annually	Yes	3 months
Number of Staff Employed, spit into Investment and Administration Staff	Annually	Yes	3 months
<b>Position Risk Reporting Statement</b>	Quarterly	Yes	15 business days
<b>Monthly Reporting Statement</b>	Monthly	Yes	15 business days
<b>Legal provisions / Regulations</b>	<b>For All Isle of Man Incorporated Category 5 Stockbrokers</b>		
Financial Supervision Commission (Stockbrokers) (No 2) Regulatory Code 2003			Sections 47 to 53
1. All dates are the number of days or months from the date as at which the reporting statement is prepared			
2. That part of the auditors report relating to client money must be also submitted within three months			