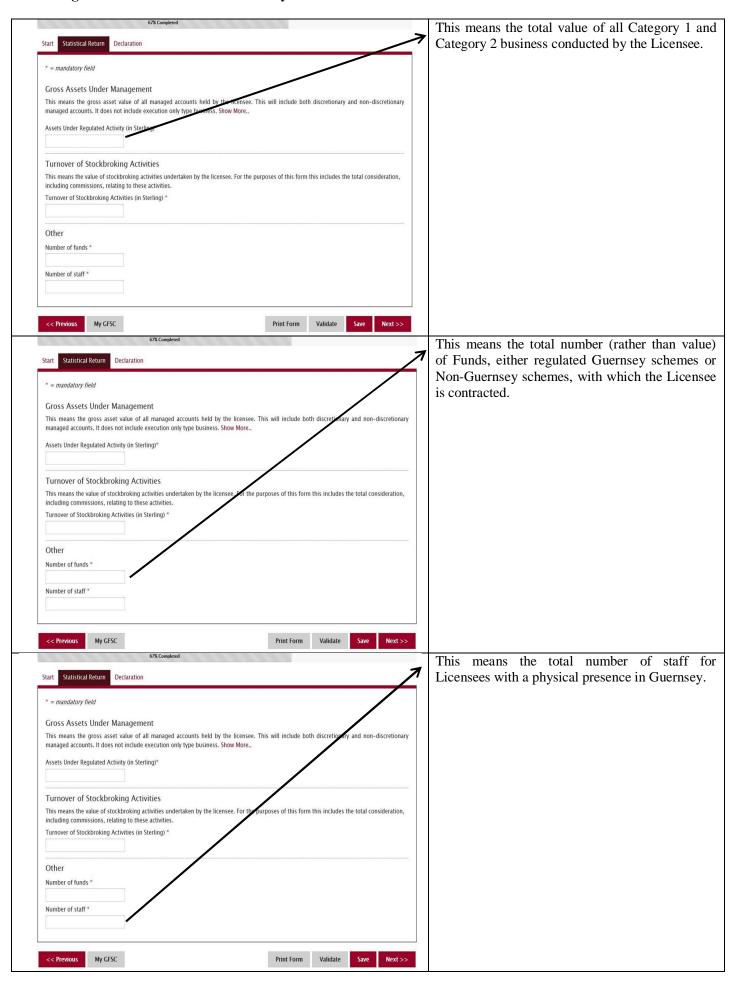
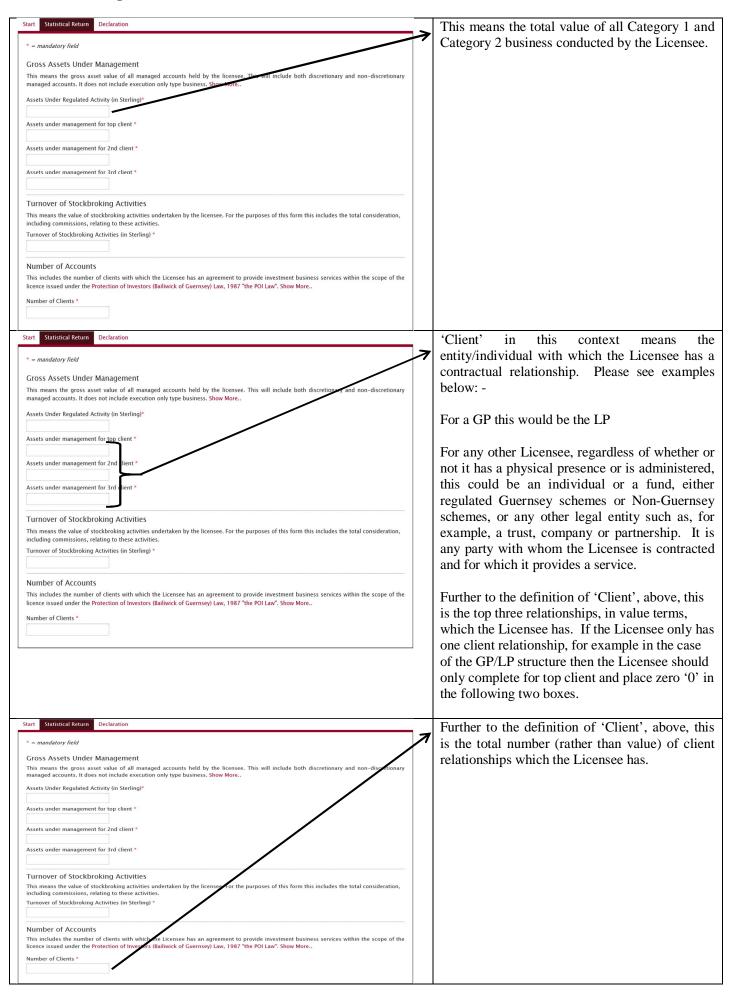
## E1: Designated Persons and Non-Guernsey Administrators



## E2: Asset Managers



## E3: Investment Registrars

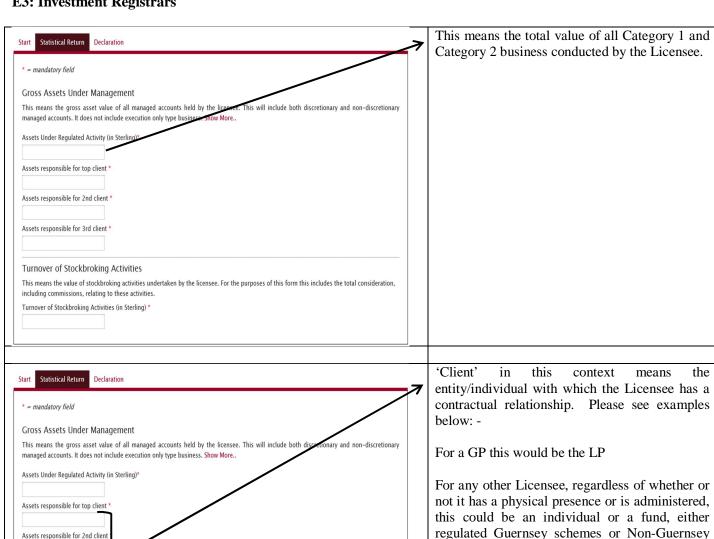
Assets responsible for 3rd client

Turnover of Stockbroking Activities

including commissions, relating to these activities.

Turnover of Stockbroking Activities (in Sterling) \*

This means the value of stockbroking activities undertaken by the licensee. For the purposes of this form this includes the total consideration,



context means entity/individual with which the Licensee has a contractual relationship. Please see examples

For any other Licensee, regardless of whether or not it has a physical presence or is administered, this could be an individual or a fund, either regulated Guernsey schemes or Non-Guernsey schemes, or any other legal entity such as, for example, a trust, company or partnership. It is any party with whom the Licensee is contracted and for which it provides a service.

Further to the definition of 'Client', above, this is the top three relationships, in value terms, which the Licensee has. If the Licensee only has one client relationship, for example in the case of the GP/LP structure then the Licensee should only complete for top client and place zero '0' in the following two boxes.

## **E4: Other Investment Licensees**



'Client' in this context means the entity/individual with which the Licensee has a contractual relationship. Please see examples below:

For a GP this would be the LP

For any other Licensee, regardless of whether or not it has a physical presence or is administered, this could be an individual or a fund, either regulated Guernsey schemes or Non-Guernsey schemes, or any other legal entity such as, for example, a trust, company or partnership. It is any party with whom the Licensee is contracted and for which it provides a service.

Further to the definition of 'Client', above, this is the total number (rather than value) of client relationships which the Licensee has.