

To be filled in by the broker-dealer company

Registration number	Activity code	Tax ID number	
Business name:			
Registered office:			

BALANCE SHEET OF A BROKER-DEALER COMPANY

Date ____ . ____ 20 ____

- in 000 RSD -

Account cluster, account	ITEM	AOP	Note number	Amount	
				Current year	Previous year
1	2	3	4	5	6
	ASSETS				
	A. NON-CURRENT ASSETS (0002+0003+0006+0009+0010+0011+0012)	0001			
00	I INTANGIBLE ASSETS	0002			
01	II TANGIBLE ASSETS (0004+0005)	0003			
01 (except 012 and part of 019)	1. Tangible assets	0004			
012 and 019 (part)	2. Investment property	0005			
02	III INVESTMENTS IN CAPITAL (0007+0008)	0006			
020, 021 and part of 029	1. Investments in capital of subsidiaries and other associated companies	0007			
022 and 029 (part)	2. Investments in capital of other legal persons (share in capital below 25%)	0008			
03 (except 034)	IV LONG-TERM INVESTMENTS	0009			
31	V SECURITIES AVAILABLE FOR SALE	0010			
30	VI SECURITIES HELD TO MATURITY	0011			
04	VII LONG-TERM RECEIVABLES	0012			
	B. CURRENT ASSETS (0014+0015+0016+0024)	0013			
10, 12	I MATERIAL AND ADVANCES PAID	0014			
11	II NON-CURRENT ASSETS INTENDED FOR SALE AND ASSETS FROM DISCONTINUED OPERATIONS	0015			
	III RECEIVABLES, INVESTMENTS AND CASH (0017+0018+0019+0020+0021+0022+0023)	0016			
20	1. Receivables for fees and commissions on performance of investment services	0017			
21	2. Fees and commissions receivable for carrying out ancillary services	0018			
22	3. Receivables for interests, dividends and other investments	0019			
23	4. Other receivables	0020			
24 (except 246)	5. Short-term financial investments	0021			
25	6. CASH AND CASH EQUIVALENTS	0022			
26	7. Value Added Tax	0023			
32, 33	IV. SECURITIES AND OTHER FINANCIAL INSTRUMENTS (0025+0026)	0024			

Account cluster, account	ITEM	AOP	Note number	Amount	
				Current year	Previous year
1	2	3	4	5	6
33	1. Held-to-maturity securities – current portion	0025			
32	2. Securities at fair value through profit and loss account	0026			
278	V. DEFERRED TAX ASSETS	0027			
27 except 278	G. PREPAYMENTS AND ACCRUED INCOME	0028			
	D. TOTAL ASSETS = BUSINESS ASSETS (0001+0013+0027+0028)	0029			
98	Đ. OFF-BALANCE SHEET ASSETS	0030			
	LIABILITIES				
	A. CAPITAL (0402 -0403+0404+0407+0408+0409-0410+0411-0414-0417) ≥ 0	0401			
40	I CORE CAPITAL	0402			
41	II SUBSCRIBED CAPITAL UNPAID	0403			
42	III CAPITAL RESERVES (0405+0406)	0404			
420	1. Share issuing premiums	0405			
421	2. Other capital reserves	0406			
43	IV RESERVES FROM PROFIT	0407			
440, 441	V EFFECTS OF RESTATEMENT OF CAPITAL	0408			
442, 444	VI UNREALIZED PROFIT FROM SECURITIES	0409			
443, 445	VII UNREALIZED LOSSES FROM SECURITIES	0410			
45	VIII RETAINED EARNINGS (0412+0413)	0411			
450	1. Retained earnings from previous year	0412			
451	2. Retained earnings current year	0413			
46	IX LOSS (0415+0416)	0414			
460	1. Loss from previous years	0415			
461	2. Loss from the current year	0416			
034, 246	X TREASURY STOCK (OWN SHARES PURCHASED)	0417			
	B. LONG-TERM PROVISIONS AND LIABILITIES (0419+0420+0424)	0418			
50	I LONG-TERM PROVISIONS	0419			
51	II LONG-TERM FINANCIAL LIABILITIES (0421+0422+0423)	0420			
514, 515	1. Long-term loans	0421			
511, 512 and 513	2. Liabilities for issued securities, in a period longer than a year	0422			
510, 519	3. Other long-term financial liabilities	0423			
52	III SHORT-TERM FINANCIAL LIABILITIES (0425+0426+0427+0428+0429+0430+0431)	0424			
520 to 524	1. Short-term loans	0425			

Account cluster, account	ITEM	AOP	Note number	Amount	
				Current year	Previous year
1	2	3	4	5	6
526	2. Liabilities for issued securities, in a one year period	0426			
525 and 529	3. Other short-term financial liabilities	0427			
53	4. Liabilities from business operations	0428			
54 (except 540) and 55	5. Liabilities for value added tax and other public income	0429			
540	6. Liabilities for corporate profit tax	0430			
56 (except 568)	8 Accruals and deferred income	0431			
568	V. DEFERRED TAX LIABILITIES	0432			
57	G. LIABILITIES FOR NON-CURRENT ASSETS INTENDED FOR SALE AND ASSETS FROM DISCONTINUED OPERATIONS	0433			
	D. LOSS OVER CAPITAL (0410+0414+0417-0402+0403-0404-0407-0408-0409-0411) ≥ 0 = (0418+0432+0433-0029)≥0	0434			
	Đ. TOTAL BALANCE SHEET LIABILITIES (0401+0418+0432+0433-0434)	0435			
99	E. OFF-BALANCE SHEET LIABILITIES	0436			

In _____

Legal representative

_____ (date)

This form is mandatory pursuant to the Rulebook on the chart of accounts and financial statements for broker-dealer companies (Official Gazette of RS, 15/2014 and 137/2014, 143/2014-corr. and 25/2018).