

**To be filled in by the broker-dealer company**

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

## BROKER-DEALER COMPANY STATISTICAL REPORT

For the year 20\_\_\_\_

### I. GENERAL INFORMATION

DESCRIPTION	AOP	Current year	Previous year
1	2	3	4
1. The number of months in operation (from 1 to 12)	9001		
2. The number of foreign (natural or legal) persons participating in capital	9002		
3. The number of foreign (natural or legal) persons participating in capital with 10% or more than 10%	9003		
4. The average number of employees based on the balance at the end of each month (integral number)	9004		

### II. CHANGES IN INTANGIBLE AND TANGIBLE ASSETS

- in 000 RSD -

Account group, account	DESCRIPTION	AOP	Gross	Value adjustment	Net (col. 4 - 5)
1	2	3	4	5	6
00	<b>1. Intangible assets</b>				
	1.1 Balance at the beginning of the year	9005			
	1.2 Increases (acquisitions) during the year	9006			
	1.3 Decreases during the year	9007			
	1.4 Restatement of capital	9008			
	1.5 Balance at the end of the year (9005+9006-9007+9008)	9009			
01	<b>2. Tangible assets</b>				
	2.1 Balance at the beginning of the year	9010			
	2.2 Increases (acquisitions) during the year	9011			
	2.3 Decreases during the year	9012			
	2.4 Effects of restatement of capital	9013			
	2.5 Balance at the end of the year (9010+9011-9012+9013)	9014			

### III. CORE CAPITAL STRUCTURE

- in 000 RSD -

Group of accounts, account	DESCRIPTION	AOP	Current year	Previous year
1	2	3	4	5
400	<b>1. Share capital</b>	9015		
	where: foreign capital	9016		

#### IV. CORE CAPITAL STRUCTURE

- number of shares as a whole number -  
- in 000 RSD -

Group of accounts, account	DESCRIPTION	ADP	Current year	Previous year
1	2	3	4	5
	<b>1. Common shares</b>			
	1.1 The number of ordinary shares	9017		
part of 400	1.2 Nominal value of ordinary shares - total	9018		
	<b>2. Preference shares</b>			
	2.1 The number of preference shares	9019		
part of 400	2.2 The nominal value of preference shares - total	9020		
400	<b>3. Total - nominal value of shares</b> (9018+9020= 9015)	9021		

#### V. RECEIVABLES AND LIABILITIES

- in 000 RSD -

Account group, account	DESCRIPTION	AOP	Current year	Previous year
1	2	3	4	5
20, 21	1. Receivables fees and commissions from performance of investment and ancillary services (balance at the end of the year)	9022		
part of 237	2. Receivables during the year from insurance companies for compensation of damages (debit turnover without opening balance)	9023		
26	3. VAT - previous tax (annual tax per tax applications)	9024		
53	4. Operating liabilities (credit turnover without opening balance)	9025		
535	5. Liabilities for salaries (credit turnover without opening balance)	9026		
536	6. Liabilities to employees (credit turnover without opening balance)	9027		
533, 534	7. Liabilities for dividends and interests (credit turnover without opening balance)	9028		
538	8. Liabilities to individuals for contracted fees (credit turnover without opening balance)	9029		
55	9. VAT liabilities (annual tax per tax applications)	9030		
	10. Control sum (from 9022 to 9030)	9031		

#### VI. OTHER COSTS AND EXPENSES

- in 000 RSD -

Account group, account	DESCRIPTION	AOP	Current year	Previous year
1	2	3	4	5
Section 649	1. Fuel and energy costs	9032		
630	2. Costs of salaries and fringe benefits (gross)	9033		
631	3. Costs of taxes and contributions on salaries and fringe benefits charged to employer	9034		
632	4. Gross costs of remunerations to individuals according to contracts	9035		
633	5. Costs of remuneration to management board members	9036		
639	6. Other personal expenses remunerations	9037		
645	7. Rental costs	9038		
part of 659	8. Costs of researching activities	9039		
641, 642	9. Depreciation and provisions	9040		
652	10. Costs of insurance premiums	9041		

Group of accounts, account	DESCRIPTION	ADP	Current year	Previous year
1	2	3	4	5
653	11. Costs of payment operations	9042		
654	12. Costs of membership fees	9043		
655	13. Tax costs	9044		
656	14. Contributions costs	9045		
Section 659	15. Expense incurred for payment to charity, scientific and religious purposes, sports, cultural, health, educational and environmental causes.	9046		
659	16. Other non-mentioned expenses	9047		
	17. Control sum (from 9032 to 9047)	9048		

## VII. OTHER INCOME

- in 000 RSD -

Account group, account	DESCRIPTION	AOP	Current year	Previous year
1	2	3	4	5
Section 74:	1. Income from tax returns	9049		
Section 74:	2. Income from donations	9050		
Section 74:	3. Land rental fees income	9051		
Section 74:	4. Membership fees	9052		
	5. Control sum (from 9049 to 9052)	9053		

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).