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**To:** OTC Authorised Traders  
**From:** Market Operations  
**Date:** July 12 2013  
**Market Circular:** **003. List of SEC approved securities**

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Dear Authorised Trader,

In order to develop a market that complies with the requirement that only SEC registered instruments will be traded on the OTC platform, we have obtained the list of companies whose shares are registered with either SEC or CAC. The attached file and the sheet "SEC List" contains the names of some companies that are registered with both CAC and SEC whose shares are immediately tradable on NASD Market. We have been further informed that this list is not exhaustive and the OTC market should expect it to be updated as information in SEC is transcribed into digital form.

The list on the sheet named CAC list has been obtained from that body and we expect more information to become available on these companies over time.

Kindly let us know if you have any questions or if there are specific companies you wish to trade that are not on either list.

Regards

NASD PLC.

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