BUY SIDE NEGOTIATED DEAL FORM

PARTICIPATING INSTITUTION & CLIENT DETAILS		
BUYING FIRM		
NAME		
CODE		
TRADERS NAME		
TRADERS INDUCTION NUMBER		
BUYING CLIENT		
NAME		
ACCOUNT NUMBER		
MANDATE AVAILABLE (Y/N)		

TRANSACTION DETAILS		
SECURITY NAME		
SECURITY CODE		
TRANSACTION DATE		
VOLUME		
SECURITY PRICE	Actual Opening:	Proposed deal:

JUSTIFICATION: ....

....

We confirm that client is informed of the opening price / deal price differential.

NB: This form must be submitted with Client's Mandate attached.

Trader Signature: _____ **Date**_____

CEO/ Compliance Signature* _____ **Date**_____
* Where the executing trader is the CEO, the Compliance Officer is required to sign with the CEO.

NASD APPROVAL		
% DISCOUNT / PREMIUM	**APPROVED BY:**	
APPROVALS		
	Operations Manager	**Head Compliance**
	Internal Auditor	
APPROVAL NUMBER		

MARKET CONTROL COMMENT _____

_____

MARKET CONTROL Signature_____ **Date**_____

DISCLAIMER

Participating Institutions undertake that they shall strictly adhere to the transaction declared above and agree that NASD plc retains the right to cancel transactions if the information provided is found to be inconsistent with the executed transaction.

NASD PLC shall not indemnify any party involved in this transaction for any losses, damages, claims and expenses arising out of or in connection with any wrongful disclosure, misconduct, breach or misuse of confidential information that may arise from this transaction.