

(15 December 2015 – to date)

## FINANCIAL MARKETS ACT 19 OF 2012

*(Government Notice 70 in Government Gazette 36121 dated 1 February 2013. Commencement date: 3 June 2013 [Proc. No. 12, Gazette No. 36485])*

### REPORTING OF TRANSACTIONS IN LISTED SECURITIES

*Board Notice 233 in Government Gazette 39299 dated 16 October 2015. Commencement date:*  
**15 December 2015.**

I, Dube Tshidi, Registrar of Securities Services (“the Registrar”) hereby, in terms of section 25(2) of the Financial Markets Act, 2012 (Act No. 19 of 2012 (“the Act”)), prescribe -

- (a) the information to be provided by parties to a transaction that must be reported to the Registrar as contemplated in section 25(1) of the Act; and
- (b) the manner in and time within which such information must be provided,

as set out in the schedule.

#### Schedule

#### TABLE OF CONTENTS

- 1. Withdrawal and substitution of Board Notice 102 of 2013
- 2. The information required in respect of the transaction
- 3. The manner in and time within which reports are to be rendered
- 4. Commencement

#### FORM A

#### 1. Withdrawal and substitution of Board Notice 102 of 2013

Board Notice 102 of 2013 is hereby withdrawn and substituted with this Notice.

#### 2. The information required in respect of the transaction

When reporting a transaction in terms of Section 25(1) of the Act, the parties to the transaction must submit the information as contained in Form A to the Registrar.

#### 3. The manner in and time within which reports are to be rendered

Prepared by:

The parties must, within one business day after a transaction referred to in paragraph 2 has been concluded, submit a duly completed Form A to the Registrar at one of the following addresses:

P O Box 35655  
Menlo Park  
0123466533

41 Matroosberg Road  
Riverwalk Office Park  
Block B  
Ashley Gardens Ext 6  
0081

Facsimile: (012) 346-6533

Email: [Bella.Kgatitswe@fsb.co.za](mailto:Bella.Kgatitswe@fsb.co.za)

#### **4. Commencement**

This Notice takes effect 60 days after the date of publication in the *Gazette*.

(Signed)

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**DP TSHIDI**

**REGISTRAR OF SECURITY SERVICES**

**FORM A**

<b>1. The transaction</b>	
1.1. Name of the security	
1.2. Name of the exchange on which the security is listed	
1.3. Security Code	
1.4. Transaction quantity	
1.5. Transaction price	
1.6. Market price of the security on the exchange at the time of the transaction	
1.7. Date of the transaction	
1.8. Time of the transaction	
1.9. When agreement on the transaction was reached	
1.10. The reason why the transaction was concluded outside of the exchange	
1.11. Where reliance is placed on section 24(d) of the Act	
1.11.1. A brief description of the reconstruction / amalgamation / takeover / change in control sought	
<b>2. The purchaser</b>	
2.1. Name of the purchaser	
2.2. Where reliance is placed on section 24(c) of the Act	
2.2.1. The basis for stating that the purchaser is a “financial institution”	
2.2.2. The basis for stating that the purchaser is transacting as “principal”	
2.4. Business address	
2.5. Email	
2.6. Telephone number	
2.7. Name, designation and contact details of the person(s) that made the purchase decision on behalf of the purchaser	
2.8. Name, designation and contact details of the person(s) that represented the purchaser in the transaction	

2.9. Where the person(s) referred to in 2.7 or 2.8 acted on behalf of a juristic person, the name, registration number and main place of business of such juristic person	
<b>3. The seller</b>	
3.1. Name of the seller	
3.2. Where reliance is placed on section 24(c) of the Act	
3.2.1. The basis for stating that the seller is a "financial institution"	
3.2.2. The basis for stating that the seller is transacting as "principal"	
3.4. Business address	
3.5. Email	
3.6. Telephone number	
3.7. Name, designation and contact details of the person(s) that made the decision to sell on behalf of the seller	
3.8. Name, designation and contact details of the person(s) that represented the seller in the transaction	
3.9. Where the person(s) referred to in 3.7 or 3.8 acted on behalf of a juristic person, the name, registration number and main place of business of such juristic person	

**Declaration by the person submitting this form**

I, the undersigned, do hereby declare that I am duly authorised to submit the above information on behalf of the purchaser / seller and that the information is to the best of my knowledge and belief true and correct.

Dated at                      on this the                      day of                      (mm/yy).

(signature)

\_\_\_\_\_

*Print name*

*Print designation*

*Print Contact number*