Directive of Strate Proprietary Limited

Special Gazette No S7-2017

Strate Directive SA.8
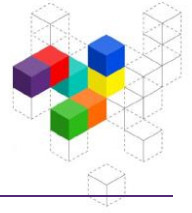
File Layout for Disclosure of Beneficial Ownership (BND) – Equity and Bond Securities
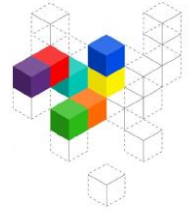
INDEX

---

1 Amended with effect from 26 September 2017
2 Amended with effect from 26 September 2017
3 Amended with effect from 5 December 2015 and 26 September 2017
4 Amended with effect from 5 December 2015

1

1.1 INTERPRETATIONS AND DEFINITIONS[5]

1.1.1 In this Strate Directive, any interpretation, word, or expression to which a meaning has been assigned in the Strate[6] Rules bears the meaning so assigned to it.[7]

'Beneficiary' means a person Holdings a beneficial interest in Securities;

'BIC' means Bank Identifier Code, which is the SWIFT identifier code of organisations with a SWIFT address;

'BND' means Beneficiary download, which is the disclosure of information on Beneficiary holdings as prescribed in this Strate Directive;

'Broker' means an Authorised User, being a person authorised by an Exchange in terms of the Exchange rules to perform such Securities Services as the Exchange rules may permit;

'BPID' means a unique Business Partner Identification Number assigned to every Participant and Business Partner linked to the Strate System;

'Business Partner' means an entity which is not a Participant and which electronically interfaces with Strate to perform an essential market function or service;

'C' means conditional, indicating that the particular information must be provided to Strate for certain Account types, or where a related field has been completed;

'CSA' means Central Securities Account as defined in the Strate Rules;

'EOD' means "End of Day" and is the time as stipulated in Strate Directive SC.1 – *Operational Market Windows – On-market – Equities* and Strate Directive SD.1 – *Operational Market Windows – On-market – Bond Securities*;

'Exchange System' means the computer system and associated network operated or used by an Exchange for the purpose of performing the Exchange functions in terms of the Act;

'FSB' means the Financial Services Board;

'FTP' means File Transfer Protocol;

'Holdings Date' or 'HD' means the date on which the record of Beneficiary holdings must be ascertained;

'ID' means identifier;

'Issuer Agent' means a person appointed by an Issuer to act as its agent, and it includes a transfer secretary;

'M' means mandatory, indicating that the particular information must be provided to Strate;

'Naming Standards' means the standardised naming conventions incorporated in this Strate Directive for the purpose of completing the required BND fields;

---

5 Amended with effect from 26 September 2017
6 "CSD" and "the CSD" amended to "Strate" throughout the document with effect from 1 November 2016
7 Rule/s" and "Directive/s" become "Strate Rule/s" and "Strate Directive/s" throughout this document with effect from 1 November 2016
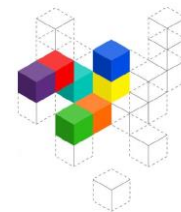
'O' means optional, indicating that the particular information may be provided to Strate;

'SDA' a means Segregated Depository Account as defined in the Strate Rules;[8]

'Secure' means to ensure the integrity and confidentiality of the information by taking appropriate reasonable technical and organisational measures to prevent loss of, damage to or unauthorised destruction of the information, and unlawful access to or processing or use of the information; [9]

'Strate' means Strate (Pty) Ltd, Registration Number 1998/022242/07;

'Strate System' means the computer system and associated network operated or used by Strate for the purpose of Clearing and Settlement of transactions in Securities, or any other purpose performed by Strate in terms of the Act; and

'SWIFT' means Society for Worldwide Interbank Financial Telecommunication.

1.1.2   Strate Directive SA.7 - *Requirements for Nominees to Operate in the Strate Environment* applies in respect of Participant Nominees approved by Strate, as well as the recognition by Strate of FSB approved Nominees, in order to ensure that these Nominees are capable of providing the BND to Strate when required to do so.[10]

1.2   PROCEDURES[11]

1.2.1   Strate will via E-mail:

     1.2.1.1   advise the Participants, Nominees and where applicable, the relevant Exchange in respect of the Brokers of the Holdings Date for the BND; and

     1.2.1.2   request the Participants, Nominees and where applicable, the relevant Exchange in respect of the Brokers to provide Strate with the BND as at the Holdings Date.

1.2.2   Participants, Brokers and Nominees must produce their BND files after the processing of their EOD run on Holdings Date.

1.2.3   Participants must ensure that their aggregate holdings per ISIN, balances to the holdings in their CSA in the records of Strate.

1.2.4   Nominees must ensure that their aggregate holdings per ISIN balance to the holdings in their Securities Accounts.

1.2.5   The Participants, Brokers and Nominees must send to Strate the BND files via a Secure FTP or other Secure mechanism, by 11H00 on the Business Day following the Holdings Date (HD+1).[12]

1.2.6   Strate will trigger the BND run once it receives all the files.

1.2.7   The Strate run collates the data received and produces a validation report indicating that the input file has failed validation including details of the row/s in which the error/s occurred. A reconciliation report highlighting the difference per ISIN between the Participant and Strate or between a Nominee or Broker and its Participant will also be produced where applicable.
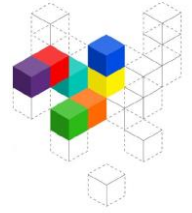
---

8 Inserted with effect from 5 December 2015
9 Inserted with effect from 5 December 2015
10 Inserted with effect from 5 December 2015
11 'Approved Nominees' changed to 'Nominees' throughout the document with effect from 5 December 2015. Section amended with effect from 26 September 2017
12 Amended with effect from 5 December 2015
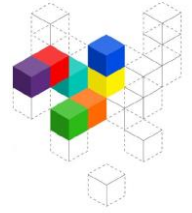
1.2.8   The validity and reconciliation error reports will where applicable be sent by E-mail to the Participants, Nominees and where applicable, the relevant Exchange in respect of the Brokers.

1.2.9   Corrected BND files must be sent to Strate via a Secure FTP or other Secure mechanism within 1 (one) hour of being advised of the error(s), unless otherwise agreed to by Strate.[13]

1.2.10   The process stipulated in 1.2.7 to 1.2.9 will be repeated if validity and reconciliation errors still exist, until such time as there are no validation errors and an acceptable level of reconciliation has been achieved.

1.2.11   The final BND run will be triggered by Strate once all errors are corrected and the files are processed successfully. The Issuer or Issuer Agent files will be created during the BND run.

1.2.12   Strate will provide the final BND to the Issuer or Issuer Agent via a Secure FTP or other Secure mechanism.[14]

---

13 Amended with effect from 5 December 2015
14 Inserted with effect from 5 December 2015

2. INPUT FILE LAYOUT

The file layouts shall be used in all instances including those where the Participant and/or Broker has a Client who has been approved as a Nominee in terms of Sections 76(1)(b) and 76(3) of the Act and Strate Directive SA.7 – *Requirements for Nominees to Operate in the Strate Environment*.   Participants may use either Participant Layout A or B.

2.1 PARTICIPANT LAYOUT A (Single file per CSA)[15]

Srl No	Name	M/O/C	Field descriptions

Mandatory Sequence A File Information

Srl No	Name	M/O/C	Field descriptions
1	Record Type Indicator	M	1n Value: 1
2	File Name	M	23x
3	File Sender ID	M	8x The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
4	Sender Name	M	35x
5	Sender Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
6	Sender Postal Code	M	4!x9x Postal code standards to be used. **NB.** leading zeroes to be used where necessary. i.e. 0001 Field is left justified
7	Sender Email Address	M	70x
8	Contact Person	M	35a
9	Contact Phone	M	24x
10	Holdings Date	M	8n (YYYYMMDD)
11	Central Securities Account	M	8n The 8 digit Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
12	Preparation Date	M	8n (YYYYMMDD)
13	Newline character	M	Newline Character only
	Total number of characters sequence A		373

End of Sequence A File Information

Mandatory Repetitive Sequence B Client Details
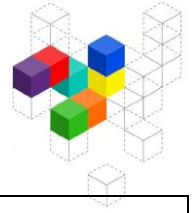
Srl No	Name	M/O/C	Field descriptions
14	Record Type Indicator	M	1n Value: 2
15	Account type	M	1n Values: 1 – Own Name Account 2 – Nominee Account

---

17 PARTICIPANT LAYOUT A (Single file per CSA): Amended with effect from 5 December 2015 and 26 September 2017

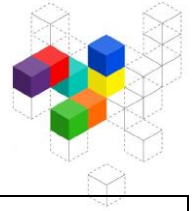|			
			3 – Beneficiary Account 4 – Broker Nominee Account 5 – FSB / Strate approved Nominee Account 6 – SDA 7 – SDA: Participant Nominee Account 8 – SDA: Broker Nominee Account 9 – SDA: FSB approved Nominee Account
16	Broker BIC Code or FSB / Strate approved Nominee BIC code if available, or unique number as agreed with the Broker or FSB / Strate approved Nominee	C	11x (Mandatory when Account type is 4 or 5, not present for other Account types)
17	Registered Account number	M	16x
18	Beneficiary Account number	C	16x (Mandatory when Account type is 3, not present for other Account types)
19	Client Name	M	2*35x
20	Title	C	10x Mandatory, if it is a natural person
21	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
22	Postal Code	M	4!x9x Postal code standards to be used. **NB.** leading zeroes to be used where necessary. i.e. 0001. Field is left justified
23	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
24	Contact Phone	O	24x
26	Country Code	C	2a (mandatory when Account type is 1, 3 or 6, but not mandatory for other Account types)
27	Classification Code	C	4x (mandatory when Account type is 1, 3 or 6, but not mandatory for other Account types)
28	Consolidated Account Owner	O	2*35x The name of the Asset/Investment /Fund Manager
29	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (only 01 or 02 to be populated at this stage)
30	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies

			0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
31	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
32	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008. For Category 0004, 0007 & 0009, this field must be filled with spaces
33	Newline character	M	Newline Character only
	Total number of characters sequence B		514

End of Sequence B Client Details

Mandatory Repetitive Sequence B1 Holdings Details

33	Record Type Indicator	M	1n Value: 3
34	Identification of Securities	M	12x
35	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. If no sign is present the field is deemed to be positive. 893 (Positive) holdings would be reflected as:- 00000000089300{

			Or as:- 000000000893000
36	Report Indicator	M	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008 (Act 71 of 2008), Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
37	Newline Character	M	Newline Character only
	Total number of characters sequence B1		30

End of sequence B1 Holdings Details

Mandatory Repetitive Sequence C Account Reconciliation Details

38	Record Type Indicator	M	1n Value: 4
39	Registered Account number	M	16x
40	Beneficiary Account number	O	16x
41	Total number of ISINs for Registered Account and Beneficiary Account combination	M	6n
42	Newline Character	M	Newline Character only
	Total number of characters sequence C		39

End of C Reconciliation Details

Mandatory Sequence D File Reconciliation Details

43	Record Type Indicator	M	1n Value: 5
44	File Name	M	23x
45	Total number of Registered Account and Beneficiary Account combination for the Central Securities Account	M	6n
	Total number of characters sequence D		30

End of Sequence D File Reconciliation Details
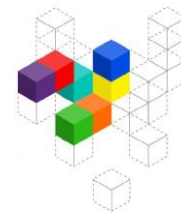
Field Specifications

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1. 1a 2. Value: 3. C
Holdings Date	M	4. 8n
Central Securities Account	M	8n The 8 character Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremetal disclosure

The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT

P.EYYMMDD.V3.ZXXXXXXX.YYYYYYYY (for the disclosure of equity Securities)
P.DYYMMDD.V3.ZXXXXXXX.YYYYYYYY (for the disclosure of bond Securities**)**

P.EYYMMDD.V3.ZXXXXXXX.YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of equity Securities)
P.DYYMMDD.V3.ZXXXXXXX.YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V3. refers to the version of the file,
- ZXXXXXXX. refers to the Participants CSA number e.g. 20001791 will be reflected as Z0001791 the Z supplanting the first digit of the CSA number,
- YYYYYYYY. refers to the to the Participants BPID number e.g. ZA100043,
- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504
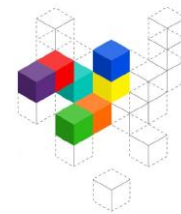
NB. The names should all be in uppercase and the different sections of the filename are separated by a **.**(dot)

OPEN SYSTEMS LAYOUT

P.EYYMMDD.V3.XXXXXXXX.YYYYYYYY (for the disclosure of equity Securities)
P.DYYMMDD.V3.XXXXXXXX.YYYYYYYY (for the disclosure of bond Securities)

P.EYYMMDD.V3.XXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of equity Securities)

P.DYYMMDD.V3.XXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V3. refers to the version of the file,
- XXXXXXXX. refers to the Participants CSA number e.g. 20001791,
- YYYYYYYY. refers to the Participants BPID number e.g. ZA100043,
- ZZZZZZZZZZZZ. is the ISIN number for the ad hoc report

NB. The names should all be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)
This is the BPID at Strate.

3. Registered Account Number (Srl No 17)
This is the Account number of the Client in the books of the Participant.

4. Beneficiary Account Number (Srl No 18)
This is the Client Account under the registered Account in the books of the Participant or Broker.

5. Client Name (Srl No 19)
Notwithstanding the manner in which the Account is recorded in the records of the Participant or Broker, the Client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following naming standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.

- Account designations such as; "No. 2 A/c" or "Blocked Rand Account" should be recorded by inserting a comma after the first names followed by the Account designation.

- Trust accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name "The" will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.

- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client's name is not permitted.

6. Title (Srl No.20)

The following titles may be used:-

Title Codes

Title Code	Description
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or Her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)

MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR / PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

7. Address (Srl No 21 & 22)

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000.

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

8. Email Address (Srl No 23) – Also see the description for Srl No 36 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the Beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their Securities Holders; and the Securities Holders have the right to receive notices from the Issuers.

9. Consolidated Account Owner (Srl No 27) – If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

10. Language Indicator (Srl No 28) – This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.
01 – English
02 – Afrikaans
The default code is 01 English.

11. Client Category (Srl No 29) – This is an optional field which will reflect the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

12. Client Identifier (Srl No 30 and 31) – These fields cater for the identification number for example the ID number, company registration number, etc. The fields are optional and will only be populated if the information is carried by the Participants and Brokers. The way in which the numbers will be recorded is described in the file layout above.

13. Holdings (Srl No 35)
This is the quantity of Securities held.

14. Report Indicator (Srl No 36) – This field will determine whether or not the Beneficiary requires annual reports**,** or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.

2.2   PARTICIPANT LAYOUT B (Multiple CSA's per File)[16]

Srl No	Name	M/O/C	Field descriptions

Mandatory Sequence A File Information

Srl No	Name	M/O/C	Field descriptions
1	Record Type Indicator	M	1n Value: 1
2	File Name	M	23x
3	File Sender ID	M	8x The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
4	Sender Name	M	35x
5	Sender Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
6	Sender Postal Code	M	4!x9x Postal code standards to be used. **NB.** leading zeroes to be used where necessary. i.e. 0001 Field is left justified
7	Sender Email Address	M	70x
8	Contact Person	M	35a
9	Contact Phone	M	24x
10	Holdings Date	M	8n (YYYYMMDD)
11	Preparation Date	M	8n (YYYYMMDD)
12	Newline character	M	Newline Character only
	Total number of characters sequence A		367

End of Sequence A File Information

Mandatory Repetitive Sequence B Central Securities Account Details

Srl No	Name	M/O/C	Field descriptions
13	Record Type Indicator	M	1n Value: 2
14	Central Securities Account	M	8n The 8 digit Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
15	Central Securities Account Name	M	35X
16	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
17	Newline character	M	Newline Character only
	Total number of characters sequence B		184

End of Sequence B File Information

---

16 PARTICIPANT LAYOUT B (Multiple CSA's per File): Amended with effect from 5 December 2015 and 26 September 2017

Mandatory Repetitive Sequence C Client Details

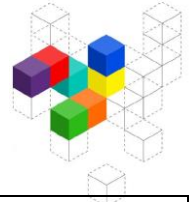| 18	Record Type Indicator	M	1n Value: 3
19	Account type	M	1n Values: 1 – Own Name Account 2 – Nominee Account 3 – Beneficiary Account 4 – Broker Nominee Account 5 – FSB / Strate approved Nominee Account 6 – SDA 7 – SDA: Participant Nominee Account 8 – SDA: Broker Nominee Account 9 – SDA: FSB approved Nominee Account
20	Broker BIC Code or FSB / Strate approved Nominee BIC code if available, or unique number as agreed with the Broker or FSB / Strate approved Nominee	C	11x (Mandatory when Account type is 4 or 5, not present for other Account types)
21	Registered Account number	M	16x
22	Beneficiary Account number	C	16x (Mandatory when Account type is 3, not present for other Account types)
23	Client Name	M	2*35x
24	Title	C	10x Mandatory, if it is a natural person
25	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
26	Postal Code	M	4!x9x Postal code standards to be used. **NB**. leading zeroes to be used where necessary. i.e. 0001. Field is left justified
27	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
28	Contact Phone	O	24x
29	Country Code	C	2a (mandatory when Account type is 1, 3 or 6 not mandatory for other Account types)
30	Classification Code	C	4x (mandatory when Account type is 1, 3 or 6 not mandatory for other Account types)
31	Consolidated Account Owner	O	2*35x The name of the Asset/Investment/ Fund Manager
32	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (only 01 or 02 to be populated at this stage)

33	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
34	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
35	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008. For Category 0004, 0007 & 0009, this field must be filled with spaces
36	Newline character	M	Newline Character only
	Total number of characters sequence B		514

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

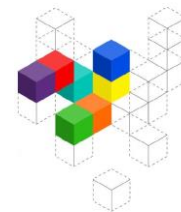| 37	Record Type Indicator	M	1n Value: 4
38	Identification of Securities	M	12x
39	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros.

			If no sign is present the field is deemed to be positive
			893 (Positive) holdings would be reflected as:-
			00000000089300{
			Or as:-
			000000000893000
40	Report Indicator	M	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
41	Newline Character	M	Newline Character only
	Total number of characters sequence B1		30

End of sequence C1 Holdings Details

Mandatory Repetitive Sequence D Account Reconciliation Details

42	Record Type Indicator	M	1n Value: 5
43	Registered Account number	M	16x
44	Beneficiary Account number	O	16x
45	Total number of ISINs for Registered Account and Beneficiary Account combination	M	6n
46	Newline Character	M	Newline Character only
	Total number of characters sequence C		39

End of D Reconciliation Details

Mandatory Repetitive Sequence E Central Securities Account Reconciliation Details

47	Record Type Indicator	M	1n Value: 6
48	Central Securities Account Number	M	8n
49	Total number of Registered Account and Beneficiary Account combination for the Central Securities Account	M	6n
	Total number of characters sequence D		15

End of Sequence E File Reconciliation Details

Mandatory Sequence F File Reconciliation Details

50	Record Type Indicator	M	1n Value: 7
51	File Name	M	23x
52	Total number Central Securities Accounts in file	M	6n
	Total number of characters sequence D		30

End of Sequence F File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: C
Holdings Date	M	8n
BPID	M	8n The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable.
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremetal disclosure

The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT

P.EYYMMDD.V4. YYYYYYYY (for the disclosure of equity Securities)
P.DYYMMDD.V4. YYYYYYYY (for the disclosure of bond Securities)

P.EYYMMDD.V4. YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of equity Securities)
P.DYYMMDD.V4. YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V4. refers to the version of the file,
- YYYYYYYY. refers to the to the Participants BPID number e.g. ZA100043,

- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504

NB. The names should all be in uppercase and the different sections of the filename are separated by a .(dot).
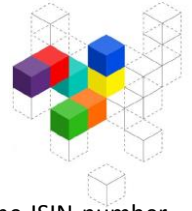
OPEN SYSTEMS LAYOUT

P.EYYMMDD.V4.YYYYYYYY (for the disclosure of equity Securities)
P.DYYMMDD.V4.YYYYYYYY (for the disclosure of bond Securities)

P.EYYMMDD.V4.YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of equity Securities)
P.DYYMMDD.V4.YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V4. refers to the version of the file,
- YYYYYYYY. refers to the Participants BPID number e.g. ZA100043,
- ZZZZZZZZZZZZ. is the ISIN number for the Ad hoc report

NB. The names should all be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)
This is the BPID at Strate.

3. Registered Account Number (Srl No 21)
This is the Account number of the Client in the books of the Participant.

4. Beneficiary Account Number (Srl No 22)
This is the Client Account under the Registered Account in the books of the Participant or Broker.

5. Client Name (Srl No 23)
Notwithstanding the manner in which the Account is recorded in the records of the Participant or Broker, the Client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name Clients, the categories referred to in Strate *Directive SA.4 – Requirements for Own Name Clients*, are applicable.

Naming Standards

The following Naming Standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma will be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name will wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.

- Account designations such as; "No. 2 A/c" or "Blocked Rand Account" etc. should be recorded by inserting a comma after the first names followed by the Account designation.

- Trust accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name "The" will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.

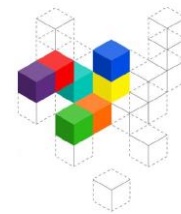- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the investors name is not permitted.

6. Title (Srl No 24)

The following titles may be used:-

Title Codes

Title Code	Description
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or Her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)

LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR /PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

7. Address (Srl No 25 & 26)
A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

8. Email Address (Srl No 27) – Also see the description for Srl No 36 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the Beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their Securities Holders; and the Securities Holders have the right to receive notices from the Issuers.

9. Consolidated Account Owner (Srl No 31) – If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

10. Language Indicator (Srl No 32) – This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.
01 –English
02 – Afrikaans
The default code is 01 English.

11. Client Category (Srl No 33) – This is an optional field which will reflect the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.
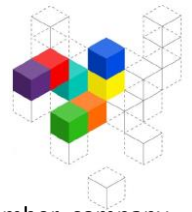
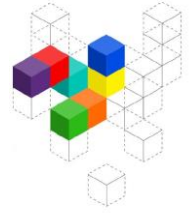12. **Client Identifier (Srl No 34 and 35) –** These fields cater for the identification number for example the ID number, company registration number, etc. The fields are optional and will only be populated if the information is carried by the Participants and Brokers. The way in which the numbers will be recorded is described in the file layout above.

13. **Holdings (SRL No 39) –** This is the quantity of Securities held.

14. **Report Indicator (Srl No 40) –** This field will determine whether or not the Beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer.   It also defines the method of communication i.e. mail or e-mail.

2.3   EXCHANGE LAYOUT[17]

Srl No	Name	M/O/C	Field descriptions

Mandatory Sequence A File Information

Srl No	Name	M/O/C	Field descriptions
1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender ID	M	8x
4.	BPID	M	8x
5.	Holdings Date	M	8n (YYYYMMDD)
6.	Broker BIC Code	M	11x
7.	Preparation Date	M	8n (YYYYMMDD)
8.	Newline character	M	Newline Character only
	Total number of characters sequence A		67

End of Sequence A File Information

Mandatory Sequence B Account Information

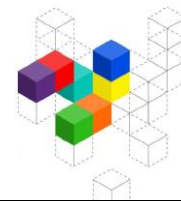| Srl No	Name	M/O/C	Field descriptions
9.	Record Type Indicator	M	1n Value: 2
10.	Central Securities Account	M	8n The 8 digit Central Securities Account of the Participant in the Strate System
11.	Registered Account Number	M	16x
12.	Newline character	M	Newline Character only
	Total number of characters sequence B		25

End of Sequence B Account Information

Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number

Srl No	Name	M/O/C	Field descriptions
13.	Record Type Indicator	M	1n Value: 3
14.	Account Type	M	2n Values: 03 – Beneficiary Account 10 – FSB approved Nominee Holdings a Securities Account under a Broker Nominee
15.	Broker BIC Code if available or unique number as agreed with the Broker Nominee or a FSB approved Nominee Holdings a Securities Account under a Broker Nominee	C	11x Mandatory when Account type is 10. Not present for other Account types
16.	Registered Account number	M	16x Registered Account number of a FSB approved Nominee Holdings a Securities Account under a

---

			Broker Nominee in the books of the Broker for Account type 10 Same as Registered Account number in Sequence B for Account Type 03
17.	Beneficiary Account number	C	16x Mandatory when Account type is 03
18.	Client Name	M	2*35x
19.	Title	C	10x Mandatory, if it is a natural person
20	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
21.	Postal Code	M	4!x9x Postal code standards to be used. **NB.** leading zeroes to be used where necessary. i.e. 0001 Field is left justified
22.	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
23.	Contact Phone	O	24x
24.	Country Code	M	2a
25.	Classification Code	O	4x
26.	Consolidated Account Owner	O	2*35x The name of the Asset/Investment /Fund Manager
27.	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (01 and 02 to be populated at this stage)
28.	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
29.	Client Identifier 1	O	30x Valid Values: 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002, and 0003 30x Personal Reference Number for Category:

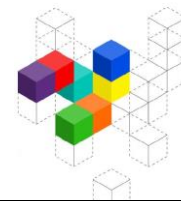|			
			0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
30.	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces
31.	Newline Character	M	Newline Character only
	Total number of characters sequence C		515

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

32.	Record Type Indicator	M	1n Value: 4
33.	Identification of Securities	M	12x
34.	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign { carried at the end of the field indicates the holdings is positive. 893 (Positive) holdings would be reflected as:- 00000000089300{ Or as:- 000000000893000
35.	Report Indicator	O	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail

			03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
36.	Newline character	M	Newline Character only
	Total number of characters sequence C1		30

End of Sequence C1 Holdings Details

Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation

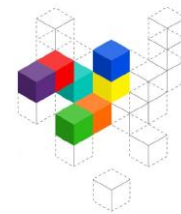|			
37.	Record Type Indicator	M	1n Value: 5
38.	Registered Account number	M	16x Same as Registered Account number in Sequence C
39.	Beneficiary Account number	C	16x Mandatory when Account type is 03
40.	Total number of ISINs for the Registered Account and Beneficiary Account	M	6n
41.	Newline character	M	Newline Character only
	Total number of characters sequence C2		39

End of Sequence C2 Beneficiary Account Number Reconciliation

Mandatory Sequence D Account Number Reconciliation

42.	Record Type Indicator	M	1n Value: 6
43.	Central Securities Account	M	8n The 8 character Central Securities Account of the Participant in the Strate System
44.	Registered Account number	M	16x
45.	Total number of Beneficiary Accounts and FSB approved Nominees holding a Securities Accounts under a Broker Nominee for the Registered Account	M	6n
46.	Newline character	M	Newline Character only
	Total number of characters sequence D		31

End of Sequence D Account Number Reconciliation

Mandatory Sequence E File Reconciliation Details

47.	Record Type Indicator	M	1n Value: 7
48.	File Name	M	23x
49.	Total number of Registered Accounts for the Broker	M	6n
	Total number of characters sequence E		30

End of Sequence E File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: B
Holdings Date	M	8n
Broker BIC Code	M	11x
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremetal disclosure

The file should be sent to Strate in text file format and should be named as follows:[18]

P.EYYMMDD.V3.ZZZXXXXX.ZAXXXXXX (for the disclosure of equity Securities)
P.DYYMMDD.V3.ZZZXXXXX.ZAXXXXXX (for the disclosure of bond Securities)

P.EYYMMDD.V3.YYYXXXXX.ZAXXXXXX.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of equity Securities)
P.DYYMMDD.V3.YYYXXXXX.ZAXXXXXX.ZXXXXXXX.XXXXX (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V3. refers to the version of the file,
- ZZZXXXXX. refers to the Brokers number in the relevant Exchange System. The first three characters (ZZZ) represent the relevant Exchange System,
- ZAXXXXXX. refers to the BPID of the relevant Exchange in the books of Strate,
- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504.

NB. The names should all be in uppercase and the different sections of the filename are separated by a **.**(dot)

2. File Sender ID (Srl No 3)
This is the BPID of the relevant Exchange.

3. BPID (Srl No 4)
This is the BPID of the Broker for whom the file is being sent.

4. Registered Account number (Srl No 11)
This is the Broker Nominee Account in the books of the Participant. (This information is also available with the Broker.)

5. Account Type (Srl No 14)
This Account type shows whether the Account type is Beneficiary Account (03) or FSB approved Nominee Holdings a Securities Account under a Broker Nominee (10).

---

[18] Amended with effect from 26 September 2017

6. Registered Account number (Srl No 16)

This is a Registered Account number of the Nominee in the books of the Broker Nominee.

7. Beneficiary Account number (Srl No 17)

This is the Client Account in the books of the Broker.

8. Client Name (Srl No 18)

Notwithstanding the manner in which the Account is recorded in the records of the Participant or Broker, the Client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following Naming Standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.

- Account designations such as; "No. 2 A/c" or "Blocked Rand Account" should be recorded by inserting a comma after the first names followed by the Account designation.

- Trust accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name "The" will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.

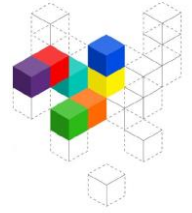- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client's name is not permitted.

9. Title (Srl No.19)

The following titles may be used:-

Title Codes

Title Code	Description
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count

COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or Her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR /PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

10. Address (Srl No 20 & 21)

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000
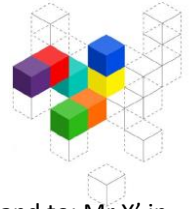
NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

11. Email Address (Srl No 22) – Also see the description for Srl No 32 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the Beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their Securities Holders; and the Securities Holders have the right to receive notices from the Issuers.

12. Consolidated Account Owner (Srl No 26) – If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

13. Language Indicator (Srl No 27) – This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.
01 –English
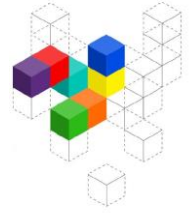02 – Afrikaans
The default is 01 English.

14. Client Category (Srl No 28) – This is an optional field which will reflect the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes are described in the above file layout.

15. Client Identifier (Srl No 29 & 30) – This is an optional field which caters for the Client identification number for example the ID number, company registration number etc.

16. Holdings (Srl No 34)
This is the quantity of Securities held.

17. Report Indicator (Srl No 35) – This field will determine whether or not the Beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.

2.4   FSB APPROVED NOMINEE LAYOUT[19]

Srl No	Name	M/O/C	Field descriptions

Mandatory Sequence A File Information

Srl No	Name	M/O/C	Field descriptions
1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender ID	M	8x The 8 character BPID of the approved Nominee in the Strate System used for Settlement of equity and bond Securities as applicable
4.	BPID	M	8x
5.	Holdings Date	M	8n (YYYYMMDD)
6.	BIC Code if available or unique number as agreed with Participant	M	11x
7.	Preparation Date	M	8n (YYYYMMDD)
8.	Newline character	M	Newline Character only
	Total number of characters sequence A		67

End of Sequence A File Information

Mandatory Sequence B Account Information

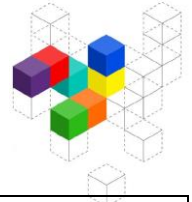| Srl No	Name	M/O/C	Field descriptions
9.	Record Type Indicator	M	1n Value: 2
10.	Central Securities Account	M	8n The 8 digit Central Securities Account belonging to the Participant of the approved Nominee in the Strate System used for Settlement of equity and bond Securities as applicable
11.	Participant Registered Account number	M	16x
12.	Newline character	M	Newline Character only
	Total number of characters sequence C		25

End of Sequence B Account Information

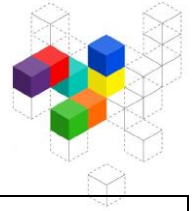**Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number**

Srl No	Name	M/O/C	Field descriptions
13.	Record Type Indicator	M	1n Value: 3
14.	Beneficiary Account number	M	16x
15.	Client Name	M	2*35x
16.	Title	C	10x Mandatory, if it is a natural person
17.	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
18.	Postal Code	M	4!x9x

|			Postal code standards to be used. **NB.** leading zeroes to be used where necessary. i.e. 0001 Field is left justified
19.	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
20.	Contact Phone	O	24x
21.	Country Code	M	2a
22.	Classification Code	M	4x
23.	Consolidated Account Owner	O	2*35x The name of the Asset/Investment/ Fund Manager
24.	Language Indicator	O	2!n Values: 01 – 11 01 – English 02 – Afrikaans Default is 01 (01 and 02 to be populated at this stage)
25.	Client Category	O	4!n Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
26.	Client Identifier 1	O	30!x Valid Values: 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002, and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
27.	Client Identifier 2	O	30!x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces

28.	Newline Character	M	Newline Character only
	Total number of characters sequence C		486

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

29.	Record Type Indicator	M	1n Value: 4
30.	Identification of Securities	M	12x
31.	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign { carried at the end of the field indicates the holdings is positive. 893 (Positive) holdings would be reflected as:- 00000000089300{ Or as:- 000000000893000
32.	Report Indicator	C	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
33.	Newline character	M	Newline Character only
	Total number of characters sequence C1		30

End of Sequence C1 Holdings Details

Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation

34.	Record Type Indicator	M	1n Value: 5
35.	Beneficiary Account number	M	16x
36.	Total number of ISINs for the Beneficiary Account	M	6n
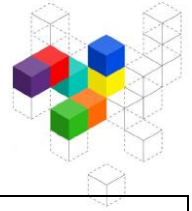
37.	Newline character	M	Newline Character only
	Total number of characters sequence C2		23

End of Sequence C2 Beneficiary Account Number Reconciliation

Mandatory Sequence D Account Number Reconciliation

38.	Record Type Indicator	M	1n Value: 6
39.	Central Securities Account	M	8n The 8 digit Central Securities Account belonging to the Participant of the approved Nominee in the Strate System used for Settlement of equity and bond Securities as applicable
40.	Registered Account number	M	16x
41.	Total number of Beneficiary Accounts for the Registered Account. i.e. Total number of Account type 3's	M	6n
42.	Newline character	M	Newline Character only
	Total number of characters sequence D		31

End of Sequence D Account Number Reconciliation

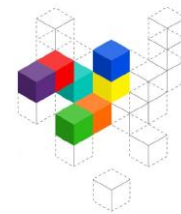**Mandatory Sequence E File Reconciliation Details**

43.	Record Type Indicator	M	1n Value: 7
44.	File Name	M	23x
45.	Total number of Registered Accounts for the FSB / Strate approved Nominee	M	6n Value: 1
	Total number of characters sequence E		30

End of Sequence E File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: F
Holdings Date	M	8n
BIC Code	M	11x
Serial number	M	2n 01-Full disclosure 02-Incremental disclosure
Filler	M	1b

The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT

P.EYYMMDD.V3. YYYYYYYY (for the disclosure of equity Securities)

P.DYYMMDD.V3. YYYYYYYY (for the disclosure of bond Securities)

P.EYYMMDD.V3. YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of equity Securities)

P.DYYMMDD.V3. YYYYYYYY.XXXXXXXX.ZXXXX (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files.
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities
- V3. refers to the version of the file
- YYYYYYYY. refers to the to the Participants BPID number e.g. ZA500006
- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504

N.B. The names should all be in uppercase and the different sections of the filename are separated by a .(dot)

OPEN SYSTEMS LAYOUT

P.EYYMMDD.V3. YYYYYYYY (for the disclosure of equity Securities)

P.DYYMMDD.V3. YYYYYYYY (for the disclosure of bond Securities)

P.EYYMMDD.V3. YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of equity Securities)

P.DYYMMDD.V3. YYYYYYYY.ZZZZZZZZZZZZ (Ad hoc for the disclosure of bond Securities)

- P. is standard for all files,
- EYYMMDD. refers to the Holdings Date, the E preceding the date denotes equity Securities and the D denotes bond Securities,
- V3. refers to the version of the file,
- YYYYYYYY. refers to the Participants BPID number e.g. ZA500006,
- ZZZZZZZZZZZZ. is the ISIN number for the Ad hoc report

N.B. The names should all be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)
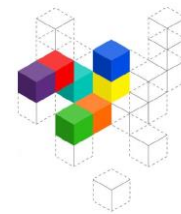This is the BPID to be provided by Strate.

3. BPID (Srl No 4)
This is the BPID of the FSB or Strate approved Nominee.

4. Registered Account number (Srl No 11)
This is the FSB or Strate approved Nominee Account in the books of the Participant.

5. Beneficiary Account number (Srl No 14)
This is the Client Account in the books of the FSB or Strate approved Nominee.

6. Client Name (Srl No 19)

Notwithstanding the manner in which the Account is recorded in the records of the Participant or Broker, the Client's name in the BND must indicate the identity of the Beneficiary.   In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following Naming Standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.

- Account designations such as; "No 2 A/c" or "Blocked Rand Account" should be recorded by inserting a comma after the first names followed by the Account designation.

- Trust accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name "The" will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.

- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.
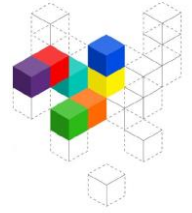
NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client's name is not permitted.

7.   Title (Srl No.20)

The following titles may be used:-

Title Codes

Title Code	Description
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess

DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or Her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR / PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

8. Address (SRL No 21 & 22)

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

9. **Email Address (Srl No 19) – Also see the description for Srl No 32 –** If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the Beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or communicate to with their Securities Holders; and the Securities Holders have the right to receive notices from the Issuers.

10. **Consolidated Account Owner (Srl No 23) –** If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

11. **Language Indicator (Srl No 24) –** This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.
01 –English
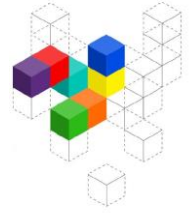02 – Afrikaans
The default code is 01 English.

12. **Client Category (Srl No 25) –** This is an optional field which will reflect the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes are described in the above file layout.

13. **Client Identifier (Srl No 26 and 27) –** This is an optional field and caters for the identification number, for example the ID number, company registration number etc.

14. **Holdings (SRL No 31)**
This is the quantity of Securities held.

15. **Report Indicator (Srl No 32) –** This field will determine whether or not the Beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.

3. OUTPUT FILE LAYOUT

3.1 ISSUER / ISSUER AGENT LAYOUT[20]

Srl No	Name	M/O/C	Field descriptions

Mandatory Sequence A File Information

Srl No	Name	M/O/C	Field descriptions
1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender ID	M	8x
4.	Holdings Date	M	8n (YYYYMMDD)
5.	Preparation Date	M	8n (YYYYMMDD)
6.	Newline character	M	Newline Character only

End of Sequence A File Information

Mandatory Repetitive Sequence B Security Details Information

Srl No	Name	M/O/C	Field descriptions
7.	Record Type Indicator	M	1n Value: 2
8.	Identification of securities	M	12x
9.	Newline character	M	Newline Character only

Mandatory Repetitive Sequence B1 CSDP & CSA Holdings Details

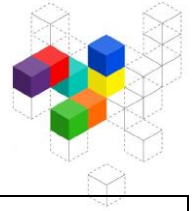| Srl No	Name	M/O/C	Field descriptions
10.	Record Type Indicator	M	1n Value: 3
11.	BPID	M	8x
12.	Business Partner Name	M	35x
13.	Business Partner Address	M	4*35x
14.	Business Partner Postal Code	O	13x
15.	Business Partner Email Address	O	70x
16.	Contact Person	O	35x
17.	Contact Phone	O	24x
18.	Central Securities Account	M	8n The 8 character Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
19.	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros.

			The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive. i.e. – 893 (Negative) holdings would be reflected as :- 00000000089300} 893 (Positive) holdings would be reflected as:- 00000000089300{ Or as:- 000000000893000
20.	Reconciliation Indicator	M	1x Values: Y – Successful N – Fail
21.	Newline character	M	Newline Character only

Mandatory Repetitive Sequence B1a Client Holdings Details

| 22.	Record Type Indicator	M	1n Value: 4
23.	Account type	M	2nValues: 01 – Own Name Account 02 – Nominee Account 03 – Beneficiary Account 04 – Broker Nominee Account 05 – FSB or Strate approved Nominee Account 06 – SDA 07 – SDA: Participant Nominee Account 08 – SDA: Broker Nominee Account 09 – SDA: FSB approved Nominee Account 10 – FSB approved Nominee Holdings a Securities Account under a Broker Nominee
24.	Registered Account number	M	16x
25.	Beneficiary Account number	C	16x (Mandatory when Account type is 3, not present for other Account types)
26.	Client Name	C	2*35x
27.	Title	O	10x
28.	Address	M	4*35x
29.	Postal Code	M	13x Postal Code Standards to be used
30.	Email address	C	70x [If Annual Report Indicator is 03, then this field is Mandatory)
31.	Contact Phone	O	24x
32.	Country Code	C	2a (Mandatory when Account type is 1, 3 or 6 not mandatory for other Account types)

33.	Classification Code	C	4x (Mandatory when Account type is 1, 3 or 6 not mandatory for other Account types)
34.	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
35.	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
36.	Holdings	C	s15!d (Mandatory for Account types 01, 02, 03, 04, 05, 06, 07, 08 and 09) 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive. i.e. – 893 (Negative) holdings would be reflected as:- 00000000089300} 893 (Positive) holdings would be reflected as:-

			00000000089300{ Or as:- 000000000893000
37.	The holdings of FSB approved Nominee Holdings a Securities Account under a Broker Nominee	C	s15!d (Mandatory only for Account type 10) 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive. i.e – 893 (Negative) holdings would be reflected as :- 00000000089300} 893 (Positive) holdings would be reflected as:- 00000000089300{ Or as:- 000000000893000
38.	Report Indicator	O	1a 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail 04 – Indicates 'No'. Not required (default)
39.	Reconciliation Indicator	M	1x Values: Y – Successful N – Fail
40.	Newline character	M	Newline Character only

Mandatory Sequence B2 Account Reconciliation Details

41.	Record Type Indicator	M	1n Value: 5
42.	Central Securities Account	M	8n The 8 character Safe Custody of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable
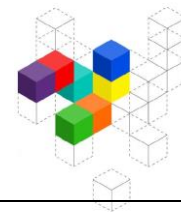
43.	Total number of Registered Account and Beneficiary Account combination for the Central Securities Account	M	6n
44.	Newline character	M	Newline Character only

Mandatory Sequence B3 Security & Account Reconciliation Details

45.	Record Type Indicator	M	1n Value: 6
46.	Identification of securities	M	12x
47.	Total number of CSAs for the specified ISIN	M	6n
48.	Newline character	M	Newline Character only

Mandatory Sequence B4 File Reconciliation Details

49.	Record Type Indicator	M	1n Value: 7
50.	File Name	M	23x
51.	Total number of ISINs for the file	M	6n

Field Specifications

1.   Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: T
Holdings Date	M	8n
Serial number	M	2n Value 01

2. File Sender ID (Srl No 3)
This is the BPID of Strate.

3. BPID (Srl No 11)
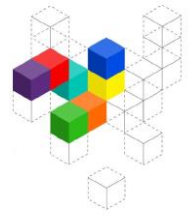This is the BPID of the Participant.

4. Holdings (SRL No 19)
These are the holdings for the specified CSA.

5. Registered Account Number (Srl No 24)
This is the Own Name or Nominee Account in the books of the Participant.

6. Beneficiary Account Number (Srl No 25)
This is the Client Account under the Registered Account in the books of the Participant or Broker.

7. Broker Nominee Holdings (Srl No 37)

These are the holdings specified by the Broker for a FSB approved Nominee Holdings a Securities Account under a Broker Nominee.

8. Annual Report Indicator (Srl No 38) – An indicator defining whether an annual report is required for the specific Beneficiary Account and ISIN. The default is N.