

MARKET NOTICE

Johannesburg
Stock Exchange

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www.jse.co.za

Number: 105/2021

Relates to:

- Equity Market
- Equity Derivatives Market
- Commodity Derivatives Market
- Currency Derivatives Market
- Interest Rate Derivatives Market
- Bond Market
- Bond ETP Market

Date: 17 March 2021

SUBJECT: FSCA SECURITIES SECTOR RISK ASSESSMENT SURVEY

Name and Surname: Johnathan Cawood

Designation: Senior Manager - Member Supervision and Enforcement

Dear Client

The Financial Sector Conduct Authority (FSCA) requests written submissions from all authorised users of an exchange to their sector risk assessment survey to gather data from the securities sector in order to identify and improve its understanding of the money laundering (ML) and terrorist financing (TF) risks that may exist in this sector in South Africa.

Submissions are invited to reach the FSCA by no later than Wednesday, 31 March 2021 by submitting written submissions via the FSCA website at

<https://forms.office.com/Pages/ResponsePage.aspx?id=R9iZmZFte0aiSF3Odi6mkHvNJ133bsRDqJPS2rBczYBUQIZHU-DIBU1pYWDRZWUVLV1pSV09ZWIMzNC4u>

In the event that assistance is required to complete the survey you may email your enquires to

Leg.AML/CFT@fsca.co.za.

Should members have any questions regarding this Market Notice please contact Johnathan Cawood in the JSE Market Regulation Division at JohnathanC@jse.co.za or (011) 520 7408.

This Market Notice will be available on the website at <https://www.jse.co.za/redirects/market-notice-and-circulars>