

Registered Officers and Traders Process Walkthrough

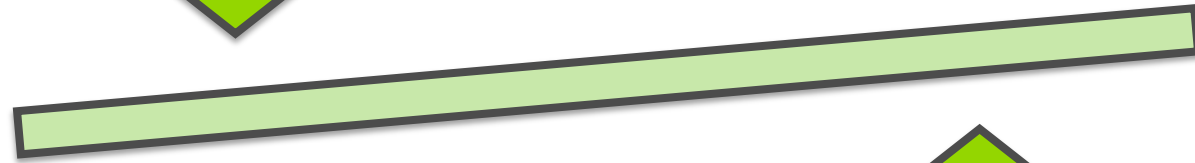
Brought to you by: JSE Information Service's
Client Data Team



Why Improve our Processes?



Reduce variability and fewer delays -
improve turnaround time for registered
officers and traders



Consistent client experience across all
markets

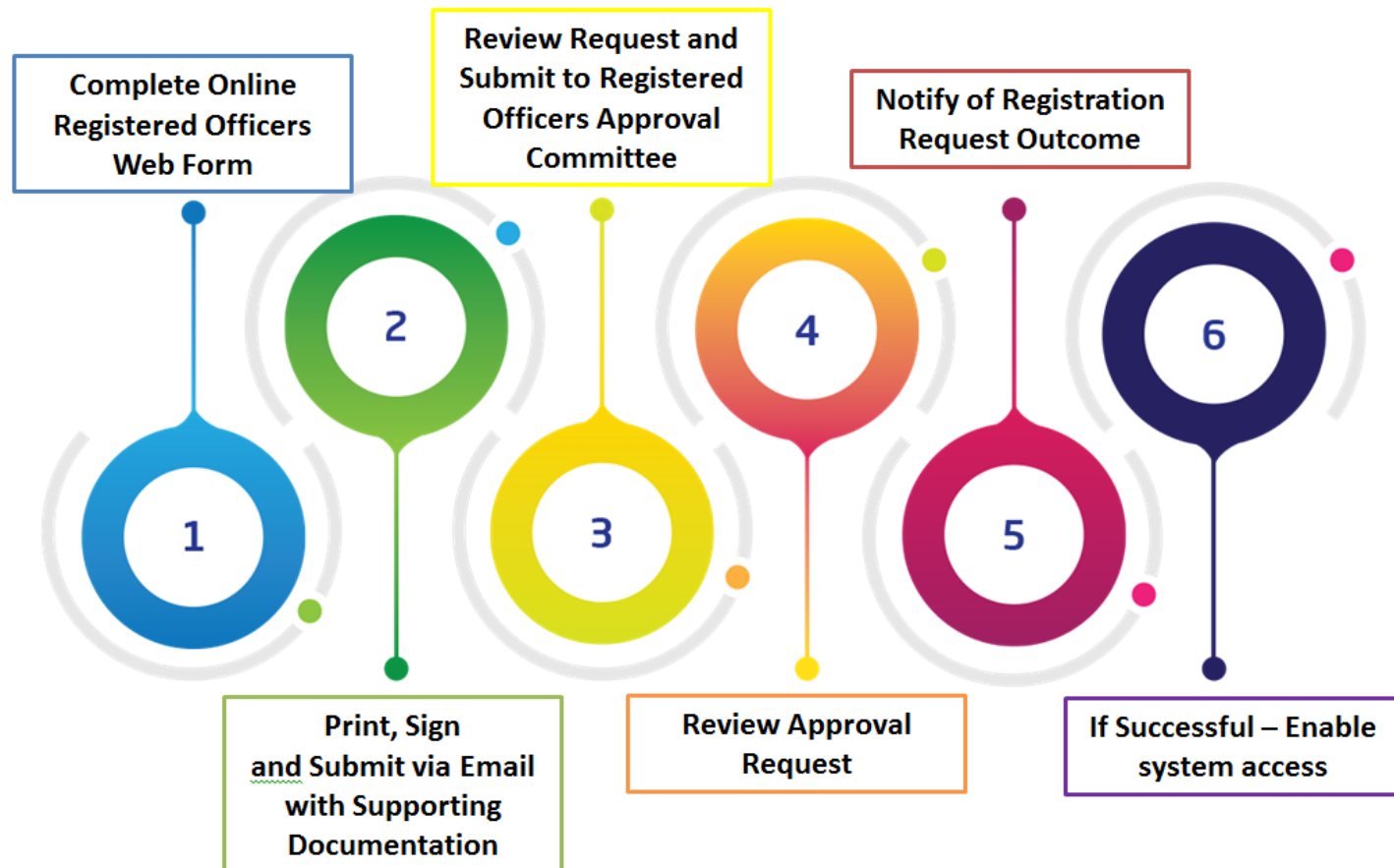
- Increase process manageability
- Increase efficiency



Harmonised, Streamlined Processes



Amendments to the JSE Derivatives and IRC rules to harmonise the process for the registration of officers and traders across the markets and in so doing align the Derivatives and IRC markets with the principles already in place in the Equities market



Up to 3 days Turnaround Time

Example of how to Register a Registered Officer or Trader



Instructions for the completion of this form.

- Select the market for which the application is to be made.
- Select the action required.
- Complete all relevant fields.
- Click on the 'Save and Print' button.
- Sign the printed form.
- Scan the signed form and email it to clientdata@jse.co.za together with:
 - the resume of the applicant, which gives detail of all previous employers, and the period employed by each;
 - a copy of the applicant's ID document;
 - if determined necessary, a copy of the employment contract of the applicant (with all confidential information blanked out); and
 - copies of relevant examination certificates or exemption letters.

Select Market then Action:

<input type="checkbox"/> Equity Market	Select Action <input type="checkbox"/>
<input type="checkbox"/> Equity Derivatives Market	Select Action <input type="checkbox"/>
<input type="checkbox"/> Commodity Derivatives Market	Select Action <input type="checkbox"/>
<input type="checkbox"/> Interest Rate & Currency Derivatives Market	Select Action <input type="checkbox"/>

Select the applicable **market** and **action** required:

- Registration
- De-Activation
- Suspension
- Change of details

Example of how to Register a Registered Officer or Trader



- Depending on the market and action selected an electronic form will be generated. For Example:

Select Market then Action:

Equity Market Registration

Firm Details

Member Firm Name

Member Firm Alpha Code

Member Branch

Member Firm BIC Code

Capture the required information to complete the Form

Officer Details

Officer's First Name

Officer's Surname

South African Identity Number

Passport Number (if applicable)

Residential Status
 South African Foreign

Telephone Number
 Country Code Area Code Telephone Number

Fax Number
 Country Code Area Code Fax Number

DMA (Direct Market Access Code):

Software being used?

AMS Sungard Amas

What will the DMA / API access be used for?

Full name of the client using DMA / API?

Examinations

- CFA - Charterholder Member
- CFA - Regular Member
- Financial Services Authority Recognition
- JSE Equity Compliance Officer Examination
- JSE Equity Settlement Officer Examination
- JSE Registered Securities Trader Examination
- RPE Introduction to the Financial Markets
- RPE The Bond Market
- RPE The Equity Market
- RPE The Regulation and Ethics of the South African Financial Markets
- RPE The South African Foreign Exchange Market
- RPE The South African Money Market
- Safex Junior Dealer Examination
- Securities and Investments Institute - Certificate in Derivatives
- Securities and Investments Institute - Certificate in Securities
- Securities and Investments Institute - Certificate in Securities and Financial Derivatives
- South Africa Institute of Stockbrokers Examination

Once completed, click Save and Print.

Save and Print

Example of how to Register a Registered Officer or Trader



- The printed copy of the form will contain all the information captured as well as a legal declaration.

I, _____ hereby confirm that I hold a relevant qualification and comply with the fit and proper criteria, as set out in JSE [select option below]

- Equities market rules 6.10.5 and 4.10
- Derivatives market rules 5.50.2 and 3.20
- Interest Rate and Currency Derivatives market rules 3.130.2 and 3.30

I further:

1. authorise the chief executive officer of the JSE Limited ("JSE") or her designate to obtain additional information, whether from me or another party, as is deemed necessary in respect of my application;
2. state that the information provided by me herein is true and correct and that I am aware that any false declaration or statement shall be deemed to be a contravention of the JSE rules and may result in an automatic refusal by the JSE to register me as an officer of the member or if such information becomes known following my registration, may result in my registration as an officer being summarily cancelled;
3. agree to be bound by the provisions of the Financial Markets Act No 19 of 2012, as amended and the rules and directives of the JSE; and
4. undertake to immediately inform the compliance officer of my member and the chief executive officer of the JSE or her designate of any changes to the, information contained in this declaration that occur during my tenure as a registered officer.

Signed: _____ Date: _____
(Applicant Officer)

I, _____ hereby declare that the information contained herein is to the best of my knowledge both true and correct and I undertake to inform the JSE immediately in writing of any changes to the information as communicated to me by the registered officer. I acknowledge that the information supplied by way of this form will be retained by the JSE and used for regulatory purposes and I consent to the use of the information for this purpose. I accept that the cut-off time for the submission of this form

by email is 15h00 and provided that all necessary information has been provided and all qualifying criteria have been met, the JSE will begin the approval process in respect of the Applicant Officer.

Signed: _____ Date: _____
(Compliance Officer)

The Compliance Officer and the Applicant Officer or Trader needs to review the information provided and the declaration before signing

Example of how to Register a Registered Officer or Trader



- Scan and Email the completed and Signed Registered Officer or Trader Form to clientdata@jse.co.za
- Attach the following supporting documentation to the e-mail:
 - the resume of the applicant, which gives detail of all previous employers, and the period employed by each;
 - a copy of the applicant's ID document;
 - if determined necessary, a copy of the employment contract of the applicant (with all confidential information blanked out); and
 - copies of relevant examination certificates or exemption letters.



The logo for ENGAGE features the word in a bold, sans-serif font. The letters 'E', 'N', 'A', and 'G' are black, while 'E', 'N', and 'G' are green. The letter 'A' is green and contains a black wireless signal icon. The letter 'E' at the end is black and has a green arrow pointing to its left side.

ENGAGE

Please direct any questions / concerns to the Client
Data Team: clientdata@jse.co.za