



Market Notice

Number: A1182Correction
Date 05 February 2010

Client record requirements for Nutron

In order to comply with JSE Derivatives Rule 7.60.2, members are required to ensure that all relevant client details are captured accurately and are kept up to date on Nutron at all times.

In addition to the requirements as prescribed by the above Rule, certain additional fields have also been made mandatory on the **Enter a Client** window in order to facilitate and compliment the workings of the markets and to maintain an effective regulatory environment.

Members will therefore need to ensure that the following mandatory fields (marked with an asterisk below (*)) on the **Enter a Client** window are properly populated for all registered clients.

- Surname
- Full Names
- ID Number / (Co. or CC Registration No.)
- Telephone Number
- Fax Number
- Physical Address
- Postal Address
- Discretionary Managed
- Staff Account
- VAT Registration Number (Commodity Derivatives Market clients only)
- Member Code (i.e. member branch code where a member has activated one or more branches on Nutron)

VAT registration numbers are required from VAT registered clients in the Commodity Derivatives Market as VAT is levied on all non-zero rated products (eg wheat and sunflower seeds) in the physical delivery process. The VAT component forms an integral part of the physical delivery invoicing process. EDM members are requested to enter N/A in this particular field when entering client account details onto Nutron.

Members are reminded that in respect of foreign (i.e. non-resident and emigrant) clients, the loading of non-resident and blocked client bank account details onto Nutron, including the loading of the relevant SWIFT address, is performed by the JSE Operations Division. In order get this client information onto Nutron, members are required to provide the JSE Operations Division with the completed and signed client registration form for each new foreign client.



JSE Limited Registration Number: 2005/022939/06
One Exchange Square, Gwen Lane, Sandown, South Africa.
Private Bag X991174, Sandton, 2146, South Africa. Telephone:
+27 11 520 7000, Facsimile: +27 11 520 8584, www.jse.co.za

Executive Directors: RM Loubser (CEO), NF Newton-King, F Evans (CFO), JH Burke, LV Parsons
Non-Executive Directors: HJ Borkum (Chairman), AD Botha, ZL Combi, MR Johnston, DM Lawrence, W Luhabe, A Mazwai, NS Nematswerani, N Nyembezi-Heita, N Payne, G Serobe
Alternate Director: J Berman

Where a member has set up one or more branches on Nutron, it is imperative that the member branch code attributable to each client is loaded accurately, so as to ensure that the specified branch dealers have proper access rights to their client data & positions.

Although the Income Tax Number field is currently mandatory on Nutron, this is not a JSE Derivatives rule requirement. The JSE will endeavour to make the necessary changes to Nutron as soon as possible so as to ensure that this field becomes optional and not mandatory for client account loadings.

Where a client ceases trading and a member wishes to deregister and remove the client from the register in accordance with Rule 7.60.2.3.2, the member is required to email derivativetrading@jse.co.za for Equity Derivative clients and commodities@jse.co.za for Commodity Derivative clients.

Please follow the following steps for checking and updating client records;

1. Go into EDM View Clients



2. Double click on the client



3. Click on Request Details



The screenshot shows a window titled "View SAFMANT EDM Clients" with a table of client data. The table has columns: Id Client, Client Code, Master Client, Member, Client Name, Foreign Client, Validated, and Client Details. The row for client ID 35766 is highlighted in orange. Below the table is a toolbar with buttons: Close, Restrict, Request Details, Insert, and Download. An arrow points from the text "3. Click on Request Details" to the "Request Details" button.

Id Client	Client Code	Master Client	Member	Client Name	Foreign Client	Validated	Client Details
8591	KAM951	KAM951	SAFM	SAFEX TEST TRADING	No	No	Yes
35720	LME201	LME201	SAFM	123456789	No	Yes	Yes
35765	NTC001	NTC001	SAFM	Mats	No	Yes	No
35766	HPQ121	HPQ121	SAFM	asdasd	No	Yes	No
35828	QOP401	QOP401	SAFM	Silvano	No	Yes	Yes

4. Click on View Details



The screenshot shows the same "View SAFMANT EDM Clients" window. The table data is identical to the previous screenshot. The row for client ID 35766 is highlighted in orange. Below the table is a toolbar with buttons: Close, Restrict, View Details, Insert, and Download. An arrow points from the text "4. Click on View Details" to the "View Details" button.

Id Client	Client Code	Master Client	Member	Client Name	Foreign Client	Validated	Client Details
8591	KAM951	KAM951	SAFM	SAFEX TEST TRADING	No	No	Yes
35720	LME201	LME201	SAFM	123456789	No	Yes	Yes
35765	NTC001	NTC001	SAFM	Mats	No	Yes	No
35766	HPQ121	HPQ121	SAFM	asdasd	No	Yes	Yes
35828	QOP401	QOP401	SAFM	Silvano	No	Yes	Yes

5. The 'Enter a Client' screen will pop up. The fields highlighted in red are mandatory fields and must be captured.

5.1. Trading Tab

Enter a Client

Trading | Contact Details | Banking

Client

Individual

Staff Account * NO

Client Code LME201

Surname * [REDACTED]

Full Names * [REDACTED]

Date of Birth 1970/01/01

ID Number * [REDACTED]

Passport Number

Date Entered 1970/01/01

Date Validated 1970/01/01

Trading

Member * SAFM

VAT Registration * N/A

Income Tax Number * N/A

Foreign Client

Discretionary Managed * NO

Client Sub Account

OK Cancel

5.2. Contact Details

The screenshot shows a software window titled "Enter a Client" with a blue header bar and a close button (X) in the top right corner. The window has three tabs: "Trading", "Contact Details", and "Banking". The "Contact Details" tab is selected. On the left side of the window, there is a vertical sidebar with the "NUTRON" logo and a large green number "5".

The main content area is divided into three sections:

- Contact Details:** This section contains four input fields:
 - Telephone Number: A redacted field with an asterisk (*) to its right.
 - Telephone Number (2): An empty input field.
 - Fax Number: A redacted field with an asterisk (*) to its right.
 - Email Address: An empty input field.
- Physical Address:** This section contains four input fields:
 - Address: A redacted field with an asterisk (*) to its right.
 - Suburb: A redacted field.
 - City: A redacted field with an asterisk (*) to its right.
 - Code: A redacted field with an asterisk (*) to its right.
- Postal Address:** This section contains four input fields:
 - Same as Physical Address: A redacted checkbox.
 - Address: A redacted field with an asterisk (*) to its right.
 - Suburb: A redacted field.
 - City: A redacted field.
 - Code: A redacted field with an asterisk (*) to its right.

At the bottom of the window, there are two buttons: "OK" (with a green checkmark icon) and "Cancel" (with a red X icon).

An arrow points from the "Contact Details" tab to the section header "5.2. Contact Details" located above the window.

6 Once all the above fields have been completed, click OK

The image shows a software dialog box titled "Enter a Client" with a blue header and a close button (X) in the top right corner. The dialog has three tabs: "Trading", "Contact Details", and "Banking". The "Contact Details" tab is selected. The form is divided into three sections: "Contact Details", "Physical Address", and "Postal Address".

- Contact Details:** Includes fields for "Telephone Number" (marked with an asterisk), "Telephone Number (2)", "Fax Number" (marked with an asterisk), and "Email Address".
- Physical Address:** Includes fields for "Address" (marked with an asterisk), "Suburb", "City" (marked with an asterisk), and "Code" (marked with an asterisk).
- Postal Address:** Includes a checkbox for "Same as Physical Address" (which is checked), and fields for "Address" (marked with an asterisk), "Suburb", "City", and "Code" (marked with an asterisk).

At the bottom of the dialog are two buttons: "OK" (with a green checkmark icon) and "Cancel" (with a red X icon). A black arrow points from the "OK" button up to the "City" field in the Physical Address section. Another black arrow points from the "City" field up to the top of the dialog box.

6. Double click on the client and click on Validate to complete the update

Id Client	Client Code	Master Client	Member	Client Name	Foreign Client	Validated	Client Details
8591	KAM951	KAM951	SAFM	SAFEEX TEST TRADING	No	No	Yes
35720	LME201	LME201	SAFM	123456789	No	No	Yes
35765	NTC001	NTC001	SAFM	Mats	No	Yes	No
35766	HPQ121	HPQ121	SAFM	asdasd	No	Yes	Yes
35828	QDP401	QDP401	SAFM	Silvano	No	Yes	Yes

Should you have any queries in this regard, please contact us on 011 520 7085 or 011 520 7670.

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Rod Gravelet-Blondin

Designation Senior General Manager
Division Commodity Derivatives Division
Tel +27 11 520-7258
Fax +27 11 520-7558
E-mail address: RodGB@jse.co.za

Distributed by the Company Secretariat +27 11 520 7346