



**APPENDIX 3: Issuer agent and/or employee,
officer or director of the issuer agent performing
the functions of the issuer agent statement**

July 2017



[on the Issuer’s letterhead or the Issuer Agent’s letterhead]

To: Issuer Regulation Committee
4 Africa Exchange (Pty) Ltd (“4AX”) Date: / /

PERSONAL DETAILS

Full name of the Issuer Agent and/or employee, director of officer performing the functions of the Issuer Agent if it is a legal entity and registration number:

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Surname of Issuer Agent and/or employee, director of officer performing the functions of the Issuer Agent:

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Any former surname:

First name:

Identity or passport number:

Business address / Physical address:

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Postal address:

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Telephone number (business):

Mobile number:

E-mail address:

QUALIFICATIONS AND EXPERIENCE

Provide details of your qualifications and relevant experience

Qualifications:

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Experience:

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If you are employed/a Director of the Issuer please attach hereto a letter from the relevant professional body confirming your qualification and confirmation that you are in good standing with the professional body, which letter should not be older than one month from the date of this statement.

Have you ever been disqualified by a court from acting as a Director, or from acting in the management or conduct of the affairs of any company? If so, give full particulars.

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INTEGRITY

Have you ever been convicted of any offence in South Africa or elsewhere resulting from dishonesty, fraud, theft, forgery, perjury, misrepresentation or embezzlement? If yes, provide details.

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Have you ever been censured or fined by a self-regulatory organisation, or recognised professional body? If yes, provide details.

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Have you ever been adjudged bankrupt or sequestered (whether provisionally or finally) in any jurisdiction? If yes, provide details.

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Have you at any time been a party to a scheme of arrangement or made any other form of compromise with your creditors? If yes, provide details.

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Have you ever been found guilty in disciplinary proceedings, by an employer or regulatory body, due to dishonest activities? If yes, provide details.

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Have you ever been barred from entry into any profession or occupation? If yes, provide details.

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I,.....

declare that, to the best of my knowledge and belief (having taken all reasonable care to ensure that such is the case), the answers to all the above questions are true and correct, and I hereby give my authority to 4AX to disclose any of the foregoing particulars as 4AX may, in its absolute discretion, but subject to the provisions of the FMA and any applicable administrative laws, think fit. I also acknowledge that in my capacity as an Issuer Agent, I undertake and agree to discharge my duties in ensuring such compliance whilst I am an Issuer Agent.

I acknowledge that if 4AX considers that I have been in breach of my responsibilities under the Listing Requirements or this declaration, then 4AX may censure me or refuse to allow me to act as an Issuer Agent by removing me as an Issuer Agent from the register of approved Issuer Agents or suspend my Issuer Agent membership of 4AX and that 4AX may publicise the fact that it has done so and the reasons for its actions.

I further acknowledge that certain requirements contained in the Listing Requirements, affect me directly as an Issuer Agent and, in my personal capacity, as well as in my capacity as an Issuer Agent, I undertake to be bound by and to comply with all such requirements whilst I am an Issuer Agent.

I undertake to:

- confirm that all our electronic devices systems have updated anti-virus programmes installed;
- ensure that any document to be loaded onto the 4AX portal is scanned and checked as being virus free before uploading the document onto the portal; and
- keep our login details secure and that the login details are only given to parties authorised to access the 4AX portal. Notwithstanding, the granting of the login details to such a person/s, the Issuer Agent is not absolved from any liability in terms of the Listing Requirements and shall bear responsibility for such a person's actions.

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Signature