



**Schedule 3**  
**Application by:**  
**Internal Issuer Agent; or**  
**External Issuer Representative**

April 2020

**SCHEDULE 3: APPLICATION BY INTERNAL ISSUER AGENT OR EXTERNAL ISSUER AGENT REPRESENTATIVE**  
**(Equity Listing Requirements reference 4.5.3)**  
**[ON THE APPLICANT ISSUER'S/ISSUER'S/ ISSUER AGENT'S LETTERHEAD]**

To: 4 Africa Exchange Proprietary Limited  
Hill on Empire, 4th Floor, Building A  
16 Empire Road, Parktown  
2193  
South Africa

[INSERT DATE]

**Details**

Details of the External Issuer Agent entity:

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.....  
Full name and surname of the External Issuer Agent Representative or full-time employee/Director undertaking the role of an Internal Issuer Agent:

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.....  
Any former surname:

.....  
.....  
Identity / passport number (please attach a copy):

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.....  
Physical address (please attach a proof of residence not older than three months):

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Business address  
.....  
.....

Postal address:  
.....  
.....

Telephone number (business):  
.....  
.....



Mobile number:

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E-mail address:

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**Qualifications and experience**

Provide details of your qualifications and relevant experience or attach a detailed Curriculum Vitae  
Qualifications:

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Experience:

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Please attach hereto a letter from the relevant professional body confirming your qualification/s 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 sequestrated (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,.....  
(insert name)

- declare, to the best of my knowledge and belief (having taken all reasonable care to ensure that such is the case), that the answers to all the above questions are true and correct;
- authorise 4AX to disclose any of the foregoing particulars as 4AX may, in its discretion, but subject to the provisions of the FMA and any applicable administrative laws, think fit;
- declare that I have procedures and controls in place to ensure that I am not acting outside the scope of my authority;
- accept my duties and responsibilities set out in Chapter 4 of the Equity Listing Requirements and agree to discharge them with due care;
- agree to attend the prescribed training or equivalent, where considered necessary by 4AX;
- agree to comply with the standards of conduct set out in Chapter 4 of the Equity Listing Requirements;
- undertake to act in accordance with the provisions of the Equity Listing Requirements at all times; and
- acknowledge that if I breach any of my duties and responsibilities set out in the Equity Listing Requirements, 4AX may censure me or remove me from the approved Equity Issuer Agent register and that 4AX may publicise that it has done so and the reasons for such action.

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.....  
Signature