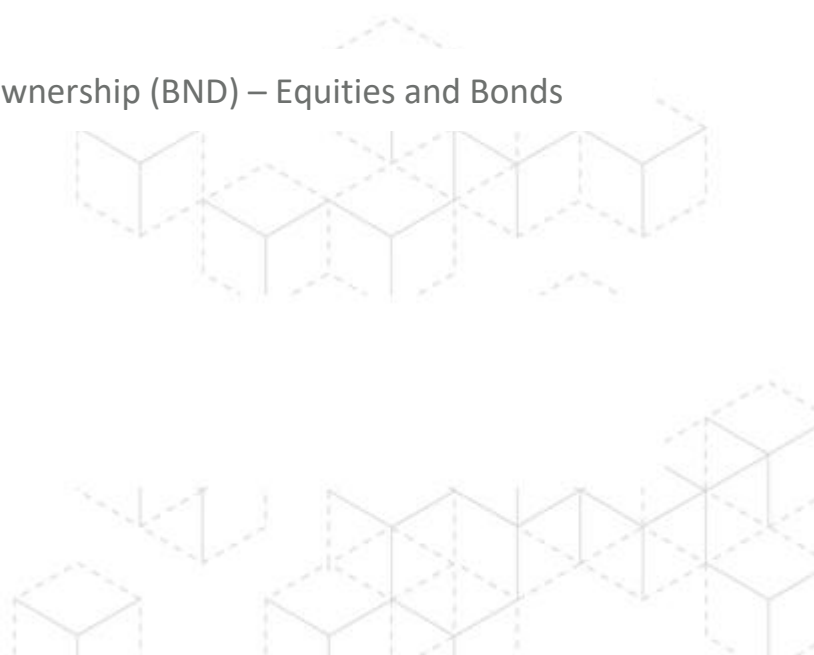


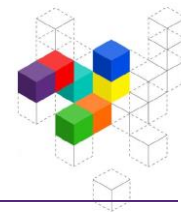
Directive of Strate Proprietary Limited

Special Gazette No S11-2016

Strate Directive SA.8

File Layout for Disclosure of Beneficial Ownership (BND) – Equities and Bonds





To cater for the file layouts for downloads of beneficial owner information

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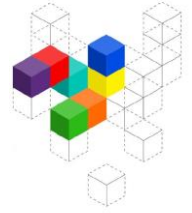
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¹ Amended with effect from 1 October 2012

² Amended with effect from 5 December 2015

³ Amended with effect from 5 December 2015



1

1.1 INTERPRETATIONS AND DEFINITIONS⁴

1.1.1 In this Strate Directive, any interpretation, word, or expression to which a meaning has been assigned in the Strate⁵ Rules bears the meaning so assigned to it.⁶

‘BDA’ means the Broker Deal Accounting system operated by the JSE;

‘BND’ means Beneficiary download, which is the disclosure of information on Beneficiary holdings as prescribed in this Strate Directive;

‘Beneficiary’ means a person holding a beneficial interest in Securities;⁷

‘BIC’ means Bank Identifier Code, which is the SWIFT identifier code of organisations with a SWIFT address;

‘BP’ means business partner;

‘Broker’ means an Authorised User, being a person authorised by an Exchange in terms of the Exchange rules to perform such Securities services as the Exchange rules may permit;

‘C’ means conditional, indicating that the particular information must be provided to Strate for certain account types, or where a related field has been completed;

‘EOD’ means “End of Day” and is the time as stipulated in Strate Directive SC.1 – *Operational Market Windows – On-market – Equities* and Strate Directive SD.1 – *Operational Market Windows – On-market – Bonds*;

‘FSB’ means the Financial Services Board;

‘FTP’ means File Transfer Protocol;

‘Holding Date’ means the date on which the record of Beneficiary holdings must be ascertained;

‘Id’ means identifier;

‘ISIN’ means International Securities Identification Number, a unique internationally recognised securities identification number;

‘JSE’ means the JSE Limited Registration Number 2005/022939/06;

‘M’ means mandatory, indicating that the particular information must be provided to Strate;

‘Naming Standards’ means the standardised naming conventions incorporated in this Strate Directive for the purpose of completing the required BND fields;⁸

‘O’ means optional, indicating that the particular information may be provided to Strate;

‘SCA’ means Safe Custody Account, which is the Central Securities Account;

⁴ Amended with effect from 5 December 2015

⁵ “CSD” and “the CSD” amended to “Strate” throughout the document with effect from 1 November 2016

⁶ Rule/s” and “Directive/s” become “Strate Rule/s” and “Strate Directive/s” throughout this document with effect from 1 November 2016

⁷ Amended with effect from 3 June 2013

⁸ Inserted with effect from 30 September 2011



‘Secure’ means to ensure the integrity and confidentiality of the information by taking appropriate reasonable technical and organisational measures to prevent loss of, damage to or unauthorised destruction of the information, and unlawful access to or processing or use of the information; and ⁹

‘SDA’ means Segregated Depository Account as defined in the Strate Rules;¹⁰

‘Strate’ means Strate (Pty) Ltd, Registration Number 1998/022242/07.

- 1.1.2 Strate Directive SA.7 - *Requirements for Nominees to Operate in the Strate Environment* applies in respect of Participant Nominees approved by Strate, as well as the recognition by Strate of FSB approved Nominees, in order to ensure that these Nominees are capable of providing the BND to Strate when required to do so.¹¹

1.2 PROCEDURES¹²

1.2.1 Strate will via E-mail:¹³

1.2.1.1 advise the Participants, the JSE in respect of its Brokers, and Nominees of the Holding Date for the BND; and

1.2.1.2 request the Participants, the JSE in respect of its Brokers, and Nominees to provide Strate with the BND as at the Holding Date.

1.2.2 Participants, Brokers and Nominees must produce their BND files after the processing of their EOD run on Holding Date.

1.2.3 Participants must ensure that their aggregate holdings per ISIN, balances to the holdings in their SCA in the records of Strate.

1.2.4 Nominees must ensure that their aggregate holdings per ISIN balance to the holdings in their Securities Accounts.

1.2.5 The Participants, Brokers and Nominees must send to Strate the BND files via a Secure FTP or other Secure mechanism, by 11H00 on the Business Day following the Holding Date (HD+1).¹⁴

1.2.6 Strate will trigger the BND run once it receives all the files.

1.2.7 The Strate run collates the data received and produces a validation report indicating that the input file has failed validation including details of the row/s in which the error/s occurred. A reconciliation report highlighting the difference per ISIN between the Participant and Strate or between a Nominee or Broker and its Participant will also be produced where applicable.

1.2.8 The Validity and Reconciliation error reports will where applicable be sent by E-mail to the Participants, the JSE in respect of its Brokers, or Nominees.

⁹ Inserted with effect from 5 December 2015

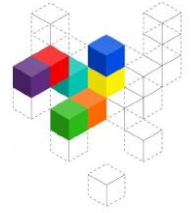
¹⁰ Inserted with effect from 5 December 2015

¹¹ Inserted with effect from 5 December 2015

¹² ‘Approved Nominees’ changed to ‘Nominees’ throughout the document with effect from 5 December 2015

¹³ Amended with effect from 5 December 2015

¹⁴ Amended with effect from 25 August 2014 and 5 December 2015

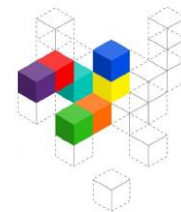


- 1.2.9 Corrected BND files must be sent to Strate via a Secure FTP or other Secure mechanism within 1 (one) hour, unless otherwise agreed to by Strate, of being advised of the error(s).¹⁵
- 1.2.10 The process stipulated in 1.2.7 to 1.2.9 will be repeated if validity and reconciliation errors still exist, until such time as there are no validation errors and an acceptable level of reconciliation has been achieved.
- 1.2.11 The final BND run will be triggered by Strate once all errors are corrected and the files are processed successfully. The Issuer or Transfer Secretary files will be created during the BND run.¹⁶
- 1.2.12 Strate will provide the final BND to the Issuer, its Transfer Secretary or nominated agent.¹⁷

¹⁵ Amended with effect from 25 August 2014 and 5 December 2015

¹⁶ Amended with effect from 25 August 2014 and 5 December 2015

¹⁷ Inserted with effect from 5 December 2015



2. INPUT FILE LAYOUTS

The file layouts shall be used in all instances including those where the Participant and/or Broker has a Client who has been approved as a Nominee in terms of Sections 76(1)(b) and 76(3) of the Act and Strate Directive SA.7 – *Requirements for Nominees to Operate in the Strate Environment*. Participants may use either Participant Layout A or B.¹⁸

2.1 PARTICIPANT LAYOUT A (Single file per SCA)¹⁹

Srl No	Name	M/O/C	Field descriptions
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Mandatory Sequence A File Information²⁰

1	Record Type Indicator	M	1n Value: 1
2	File Name	M	23x
3	File Sender Id	M	8x Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
4	Sender Name	M	35x
5	Sender Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
6	Sender Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified.
7	Sender Email Address	M	70x
8	Contact Person	M	35a
9	Contact Phone	M	24x
10	Holding Date	M	8n (YYYYMMDD)
11	Safe Custody Account	M	8n Equities – The 8 digit Safe Custody Account of the Participant in the Strate SAFIRES ²¹ application Bonds – The Safe Custody Account of the CSDP in the Strate Bonds application. Because the content is essentially a numeric field and the account number normally allocated, is less than 8 characters long, it must be zero filled from the left, so 123 will appear as '00000123'
12	Preparation Date	M	8n (YYYYMMDD)
13	Newline character	M	Newline Character only

¹⁸ Amended with effect from 5 December 2015

¹⁹ Amended with effect from 1 October 2012

²⁰ Amended with effect from 25 August 2014

²¹ "Safires" amended to "SAFIRES" throughout the document



	Total number of characters sequence A		373
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End of Sequence A File Information**Mandatory Repetitive Sequence B Client Details²²**

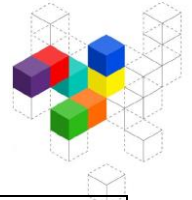
14	Record Type Indicator	M	1n Value: 2
15	Account type ²³	M	1n Values: 1 – Own Name account 2 – Nominee account 3 – Beneficiary account 4 – Broker Nominee account 5 – FSB / Strate approved Nominee ²⁴ 6 – SDA 7 – SDA: Participant Nominee account 8 – SDA: Broker Nominee account 9 – SDA: FSB approved Nominee account
16	Broker BIC Code or FSB / Strate approved Nominee BIC code if available, or unique number as agreed with the broker or FSB / Strate approved Nominee	C	11x (Mandatory when account type is 4 or 5, not present for other account types)
17	Registered account number	M	16x
18	Beneficiary account number	C	16x (Mandatory when account type is 3, not present for other account types)
19	Client Name	M	2*35x
20 ²⁵	Title	C	10x Mandatory, if it is a natural person
21	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
22	Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001. Field is left justified
23	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
24	Contact Phone	O	24x
26	Country Code	C	2a (mandatory when account type is 1, 3 or 6, but not mandatory for other account types)
27	Classification Code	C	4x

²² Amended with effect from 1 October 2012

²³ Amended with effect from 5 December 2015

²⁴ "Approved Nominees" changed to "approved Nominees" throughout the document with effect from 1 October 2012

²⁵ Amended with effect from 25 August 2014



			(mandatory when account type is 1, 3 or 6, but not mandatory for other account types)
28	Consolidate Account Owner	O	2*35x The name of the Asset/Investment /Fund Manager
29	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (only 01 or 02 to be populated at this stage)
30	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
31	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
31	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces
32	Newline character	M	Newline Character only
	Total number of characters sequence B		514

End of Sequence B Client Details**Mandatory Repetitive Sequence B1 Holding Details**



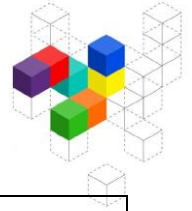
33	Record Type Indicator	M	1n Value: 3
34	Identification of Securities	M	12x
35 ²⁶	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. If no sign is present the field is deemed to be positive. 893 (Positive) Holdings would be reflected as:- 0000000089300{ Or as:- 00000000893000
36 ²⁷	Report Indicator	M	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008 (Act 71 of 2008), Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
37	Newline Character	M	Newline Character only
	Total number of characters sequence B1		30

End of sequence B1 Holding Details**Mandatory Repetitive Sequence C Account Reconciliation Details**

38	Record Type Indicator	M	1n Value: 4
39	Registered account number	M	16x
40	Beneficiary account number	O	16x

26 Amended with effect from 25 August 2014

27 Amended with effect from 25 August 2014

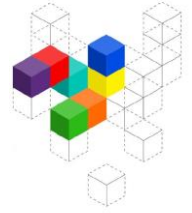


41	Total number of ISINs for Registered account and Beneficiary account combination	M	6n
42	Newline Character	M	Newline Character only
	Total number of characters sequence C		39

End of C Reconciliation Details**Mandatory Sequence D File Reconciliation Details**

43	Record Type Indicator	M	1n Value: 5
44	File Name	M	23x
45	Total number of Registered account and Beneficiary account combination for the Safe Custody Account	M	6n
	Total number of characters sequence D		30

End of Sequence D File Reconciliation Details



Field Specifications

1. Filename (Srl No 2)²⁸

Subfield	M/O/C	Field descriptions
Indicator	M	1. 1a 2. Value: 3. C
Holding Date	M	4. 8n
Safe Custody Account	M	8n Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremental disclosure

The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT

P.EYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Equities)

P.DYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Bonds)²⁹

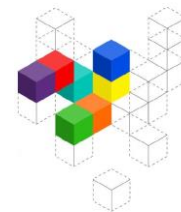
- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V3. refers to the version of the file,
- ZXXXXXXXX. refers to the Participants SCA number e.g. 20001791 will be reflected as Z0001791 the Z supplanting the first digit of the SCA number,
- YYYYYYYY. refers to the to the Participants BP ID number e.g. ZA100043,
- XXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504³⁰

NB. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

²⁸ Amended with effect from 1 October 2012

²⁹ Amended with effect from 1 November 2012

³⁰ Amended with effect from 1 November 2012



OPEN SYSTEMS LAYOUT

P.EYMMDD.V3.XXXXXXXXXX.YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V3.XXXXXXXXXX.YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V3.XXXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZ (Ad hoc for the disclosure of Equities)

P.DYMMDD.V3.XXXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZ (Ad hoc for the disclosure of Bonds)

- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V3. refers to the version of the file,
- XXXXXXXX. refers to the Participants SCA number e.g. 20001791,
- YYYYYYYY. refers to the Participants BP ID number e.g. ZA100043,
- ZZZZZZZZZZZ. is the ISIN number for the Ad hoc report

NB. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender Id (Srl No 3)

This is the BP Id at Strate.

3. Registered Account Number (Srl No 17)

This is the account number of the client in the books of the Participant.

4. Beneficiary Account Number (Srl No 18)

This is the client account under the registered account in the books of the Participant or Broker.

5. Client Name (Srl No 19)³¹

Notwithstanding the manner in which the account is recorded in the records of the Participant or Broker, the client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

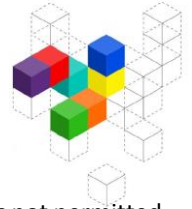
The following Naming Standards are applicable for listed categories of clients:

- Private Individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” should be recorded by inserting a comma after the first names followed by the account designation.³²
- Trust Accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name “The” will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.³³
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

³¹ Inserted with effect from 30 September 2011

³² Amended with effect from 1 November 2012

³³ Amended with effect from 25 August 2014



NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client's name is not permitted.

6. Title (Srl No.20)³⁴

The following titles may be used:-

Title Codes

Title Code	Description ³⁵
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or Her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master

³⁴ Amended with effect from 25 August 2014

³⁵ Amended with effect from 1 November 2012



ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR / PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

7. Address (Srl No 21 & 22)³⁶

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000³⁷

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

8. Email Address (Srl No 23) – Also see the description for Srl No 36 – If the beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers.³⁸

9. Consolidated Account Owner (Srl No 27) – If the assets of the beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

10. Language Indicator (Srl No 28) – This field reflects the official language of the beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.

01 – English

02 – Afrikaans

The default code is 01 English.

11. Client Category (Srl No 29) – This is an optional field which will reflect the category of the client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

³⁶ Inserted with effect from 30 September 2011

³⁷ Inserted with effect from 1 November 2012

³⁸ Amended with effect from 25 August 2014



12. Client Identifier (Srl No 30 and 31) – These fields cater for the identification number for example the ID number, Company Registration number etc. The fields are optional and will only be populated if the information is carried by the Participants and Brokers. The way in which the numbers will be recorded is described in the file layout above.

13. Holdings (Srl No 35)

This is the quantity of securities held.

14. Report Indicator (Srl No 36) – This field will determine whether or not the beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.³⁹

³⁹ Amended with effect from 25 August 2014



2.2 PARTICIPANT LAYOUT B (Multiple SCA's per File)⁴⁰

Srl No	Name	M/O/C	Field descriptions ⁴¹
--------	------	-------	----------------------------------

Mandatory Sequence A File Information⁴²

1	Record Type Indicator	M	1n Value: 1
2	File Name	M	23x
3	File Sender Id	M	8x Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
4	Sender Name	M	35x
5	Sender Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
6	Sender Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified.
7	Sender Email Address	M	70x
8	Contact Person	M	35a
9	Contact Phone	M	24x
10	Holding Date	M	8n (YYYYMMDD)
11	Preparation Date	M	8n (YYYYMMDD)
12	Newline character	M	Newline Character only
	Total number of characters sequence A		367

End of Sequence A File Information

Mandatory Repetitive Sequence B Safe Custody Account Details

13	Record Type Indicator	M	1n Value: 2
14	Safe Custody Account	M	8n Equities – The 8 digit Safe Custody Account of the Participant in the Strate SAFIRES application Bonds – The Safe Custody Account of the Participant in the Strate Bonds application. Because the content is essentially a numeric field and the account number normally allocated, is less than 8 characters long, it must be zero filled from the left, so 123 will appear as '00000123'
15	Safe Custody Account Name	M	35X

⁴⁰ Section inserted with effect from 30 September 2011

⁴¹ Amended with effect from 1 October 2012

⁴² Amended with effect from 25 August 2014



16	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
17	Newline character	M	Newline Character only
	Total number of characters sequence B		184

End of Sequence B File Information

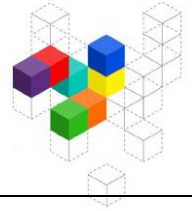
Mandatory Repetitive Sequence C Client Details⁴³

18	Record Type Indicator	M	1n Value: 3
19	Account type ⁴⁴	M	1n Values: 1 – Own Name account 2 – Nominee account 3 – Beneficiary account 4 – Broker Nominee account 5 – FSB / Strate approved Nominees 6 – SDA 7 – SDA: Participant Nominee account 8 – SDA: Broker Nominee account 9 – SDA: FSB approved Nominee account
20	Broker BIC Code or FSB / Strate approved Nominee BIC code if available, or unique number as agreed with the broker or FSB / Strate approved Nominee	C	11x (Mandatory when account type is 4 or 5, not present for other account types)
21	Registered account number	M	16x
22	Beneficiary account number	C	16x (Mandatory when account type is 3, not present for other account types)
23	Client Name	M	2*35x
24 ⁴⁵	Title	C	10x Mandatory, if it is a natural person
25	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
26	Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001. Field is left justified
27	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
28	Contact Phone	O	24x
29	Country Code	C	2a (mandatory when account type is 1, 3 or 6 not mandatory for other account types)

⁴³ Amended with effect from 1 October 2012

⁴⁴ Amended with effect from 5 December 2015

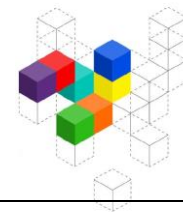
⁴⁵ Amended with effect from 25 August 2014



30	Classification Code	C	4x (mandatory when account type is 1, 3 or 6 not mandatory for other account types)
31	Consolidate Account Owner	O	2*35x The name of the Asset/Investment/ Fund Manager
32	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (only 01 or 02 to be populated at this stage)
33	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
34	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
35	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces
36	Newline character	M	Newline Character only
	Total number of characters sequence B		514

End of Sequence C Client Details**Mandatory Repetitive Sequence C1 Holding Details**

37	Record Type Indicator	M	1n
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			Value: 4
38	Identification of Securities	M	12x
39. ⁴⁶	Holdings	M	<p>s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. If no sign is present the field is deemed to be positive.</p> <p>893 (Positive) Holdings would be reflected as:-</p> <p>0000000089300{</p> <p>Or as:-</p> <p>00000000893000</p>
40 ⁴⁷	Report Indicator ⁴⁸	M	<p>2n Values 01 – 03, indicates ‘Yes’ 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates ‘No’. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers</p>
41	Newline Character	M	Newline Character only
	Total number of characters sequence B1		30

End of sequence C1 Holding Details

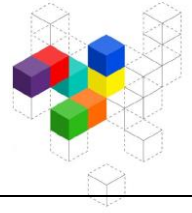
Mandatory Repetitive Sequence D Account Reconciliation Details

42	Record Type Indicator	M	1n Value: 5
43	Registered account number	M	16x
44	Beneficiary account number	O	16x
45	Total number of ISINs for Registered account and Beneficiary account combination	M	6n
46	Newline Character	M	Newline Character only

⁴⁶ Amended with effect from 25 August 2014

⁴⁷ Amended with effect from 25 August 2014

⁴⁸ Amended with effect from 3 June 2013



	Total number of characters sequence C		39
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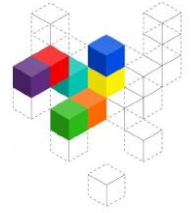
End of D Reconciliation Details**Mandatory Repetitive Sequence E Safe Custody Account Reconciliation Details**

47	Record Type Indicator	M	1n Value: 6
48	Safe Custody Account Number	M	8n
49	Total number of Registered account and Beneficiary account combination for the Safe Custody Account	M	6n
	Total number of characters sequence D		15

End of Sequence E File Reconciliation Details**Mandatory Sequence F File Reconciliation Details**

50	Record Type Indicator	M	1n Value: 7
51	File Name	M	23x
52	Total number Safe Custody Accounts in file	M	6n
	Total number of characters sequence D		30

End of Sequence F File Reconciliation Details



Field Specifications

1. Filename (Srl No 2)⁴⁹

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: C
Holding Date	M	8n
BP ID	M	8n Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremental disclosure

The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT

P.EYMMDD.V4. YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V4. YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V4. YYYYYYYY.XXXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Equities)

P.DYMMDD.V4. YYYYYYYY.XXXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Bonds)⁵⁰

- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V4. refers to the version of the file,
- YYYYYYYY. refers to the to the Participants BP ID number e.g. ZA100043,
- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504⁵¹

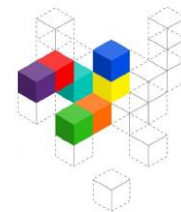
NB. The names should all be uppercase and the different sections of the filename are separated by a .(dot).

OPEN SYSTEMS LAYOUT

⁴⁹ Amended with effect from 1 October 2012

⁵⁰ Amended with effect from 1 November 2012

⁵¹ Amended with effect from 1 November 2012



P.EYMMDD.V4.YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V4.YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V4.YYYYYYYY.ZZZZZZZZZZ (Ad hoc for the disclosure of Equities)

P.DYMMDD.V4.YYYYYYYY.ZZZZZZZZZZ (Ad hoc for the disclosure of Bonds)

- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V4. refers to the version of the file,
- YYYYYYYY. refers to the Participants BP ID number e.g. ZA100043,
- ZZZZZZZZZZ. is the ISIN number for the Ad hoc report

NB. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender Id (Srl No 3)

This is the BP Id at Strate.

3. Registered Account Number (Srl No 21)

This is the account number of the client in the books of the Participant.

4. Beneficiary Account Number (Srl No 22)

This is the client account under the registered account in the books of the Participant or Broker.

5. Client Name (Srl No 23)

Notwithstanding the manner in which the account is recorded in the records of the Participant or Broker, the client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name clients, the categories referred to in Strate Directive SA.4 – Requirements for Own Name Clients, are applicable.

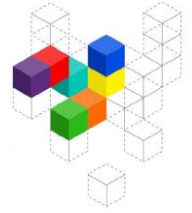
Naming Standards

The following Naming Standards are applicable for listed categories of clients:

- Private Individuals – Surname followed by the full first names. A comma will be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name will wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” etc. should be recorded by inserting a comma after the first names followed by the account designation.
- Trust Accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name “The” will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.⁵²
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the investors name is not permitted.

⁵² Amended with effect from 25 August 2014



6. Title (Srl No 24)⁵³

The following titles may be used:-

Title Codes

Title Code	Description ⁵⁴
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrouw (Afrikaans)
MEJ	Mejuffrou (Afrikaans)

⁵³ Amended with effect from 25 August 2014

⁵⁴ Amended with effect from 1 November 2012



MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR /PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

7. Address (Srl No 25 & 26)

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000⁵⁵

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

8. Email Address (Srl No 27) – Also see the description for Srl No 36 – If the beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers.⁵⁶

9. Consolidated Account Owner (Srl No 31) – If the assets of the beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

10. Language Indicator (Srl No 32) – This field reflects the official language of the beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.

01 –English

02 – Afrikaans

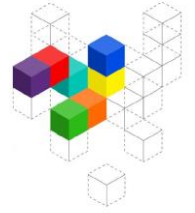
The default code is 01 English.

11. Client Category (Srl No 33) – This is an optional field which will reflect the category of the client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

12. Client Identifier (Srl No 34 and 35) – These fields cater for the identification number for example the ID number, Company Registration number etc. The fields are optional and will only be populated if the information is carried by the Participants and Brokers. The way in which the numbers will be recorded is described in the file layout above.

⁵⁵ Inserted with effect from 1 November 2012

⁵⁶ Amended with effect from 25 August 2014



13. Holdings (SRL No 39) – This is the quantity of securities held.

14. Report Indicator (Srl No 40) – This field will determine whether or not the beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.⁵⁷

⁵⁷ Amended with effect from 25 August 2014



2.3 JSE LAYOUT (BDA)⁵⁸

Srl No	Name	M/O/C	Field descriptions
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Mandatory Sequence A File Information

1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender Id	M	8x
4.	BP Id	M	8x
5.	Holding Date	M	8n (YYYYMMDD)
6.	Broker BIC Code	M	11x
7.	Preparation Date	M	8n (YYYYMMDD)
8.	Newline character	M	Newline Character only
	Total number of characters sequence A		67

End of Sequence A File Information

Mandatory Sequence B Account Information

9.	Record Type Indicator	M	1n Value: 2
10.	Safe Custody Account	M	8n The 8 digit Safe Custody Account of the Participant in the Strate SAFIRES application
11.	Registered account number	M	16x
12.	Newline character	M	Newline Character only
	Total number of characters sequence B		25

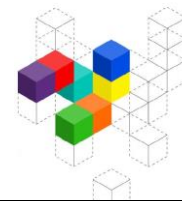
End of Sequence B Account Information

Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number

13.	Record Type Indicator	M	1n Value: 3
14. ⁵⁹	Account Type	M	2n Values: 03 – Beneficiary Account 10 – FSB approved Nominee holding a Securities Account under a Broker Nominee
15.	Broker BIC Code if available or unique number as agreed with the Broker Nominee or a FSB approved Nominee holding a Securities Account under a Broker Nominee	C	11x Mandatory when account type is 10. Not present for other account types.
16.	Registered account number	M	16x

⁵⁸ Amended with effect from 1 October 2012

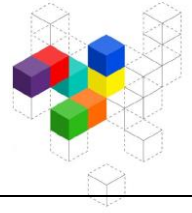
⁵⁹ 14, 15 and 16 Inserted with effect from 5 December 2015



			Registered account number of a FSB approved Nominee holding a Securities Account under a Broker Nominee in the books of the Broker for account type 10 Same as Registered account number in Sequence B for Account Type 03
17. ⁶⁰	Beneficiary account number	C	16x Mandatory when account type is 03
18.	Client Name	M	2*35x
19. ⁶¹	Title	C	10x Mandatory, if it is a natural person
20	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
21.	Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified.
22.	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
23.	Contact Phone	O	24x
24.	Country Code	M	2a
25.	Classification Code	O	4x
26.	Consolidate Account Owner	O	2*35x The name of the Asset/Investment /Fund Manager
27.	Language Indicator	O	2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (01 and 02 to be populated at this stage)
28.	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
29.	Client Identifier 1	O	30x Valid Values: 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories:

60 Amended and re-numbered with effect from 5 December 2015

61 Amended with effect from 25 August 2014



			0001, 0002, and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
30.	Client Identifier 2	O	30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces
31.	Newline Character	M	Newline Character only
	Total number of characters sequence C		515 ⁶²

End of Sequence C Client Details**Mandatory Repetitive Sequence C1 Holding Details**

32.	Record Type Indicator	M	1n Value: 4
33.	Identification of Securities	M	12x
34.	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign { carried at the end of the field indicates the holding is positive. 893 (Positive) Holdings would be reflected as:- 00000000089300{ Or as:- 000000000893000

62 Amended with effect from 5 December 2015



35.	Report Indicator ⁶³	O	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers
36.	Newline character	M	Newline Character only
	Total number of characters sequence C1		30

End of Sequence C1 Holding Details**Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation**

37.	Record Type Indicator	M	1n Value: 5
38. ⁶⁴	Registered account number	M	16x Same as Registered account number in Sequence C
39. ⁶⁵	Beneficiary account number	C	16x Mandatory when account type is 03
40.	Total number of ISINs for the Registered account and Beneficiary account	M	6n
41.	Newline character	M	Newline Character only
	Total number of characters sequence C2		39 ⁶⁶

End of Sequence C2 Beneficiary Account Number Reconciliation**Mandatory Sequence D Account Number Reconciliation**

42.	Record Type Indicator	M	1n Value: 6
43.	Safe Custody Account	M	8n The 8 character BP ID of the Participant in the Strate SAFIRES application
44.	Registered account number	M	16x
45.	Total number of Beneficiary accounts and FSB approved Nominees holding Securities Accounts under a Broker Nominee for the Registered account ⁶⁷	M	6n
46.	Newline character	M	Newline Character only
	Total number of characters sequence D		31

End of Sequence D Account Number Reconciliation**Mandatory Sequence E File Reconciliation Details**

63 Amended with effect from 25 August 2014

64 Inserted with effect from 5 December 2015

65 39 and 40 Amended with effect from 5 December 2015

66 Amended with effect from 5 December 2015

67 Amended with effect from 5 December 2015



47.	Record Type Indicator	M	1n Value: 7
48.	File Name	M	23x
49.	Total number of Registered accounts for the Broker	M	6n
	Total number of characters sequence E		30

End of Sequence E File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)⁶⁸

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: B
Holding Date	M	8n
Broker BIC Code	M	11x
Serial number	M	2!n Values: 01-02 01-Full disclosure 02-Incremental disclosure

The file should be sent to Strate in text file format and should be named as follows:

P.EYMMDD.V3.BDAXXXX.ZA001012 (for the disclosure of Equities)

P.DYMMDD.V3.BDAXXXX.ZA001012 (for the disclosure of Bonds)

P.EYMMDD.V3.BDAXXXX.ZA001012.XXXXXXX.ZXXXX (Ad hoc for the disclosure of Equities)

P.DYMMDD.V3.BDAXXXX.ZA001012.ZXXXXXX.XXXXX (Ad hoc for the disclosure of Bonds)⁶⁹

- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V3. refers to the version of the file,
- BDAXXXX. refers to the Brokers number in the JSE system,
- ZA001012. refers to the BP ID of the JSE in the books of Strate,
- XXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504⁷⁰

NB. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

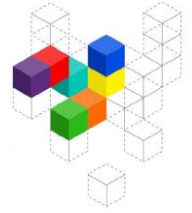
2. File Sender Id (Srl No 3)

This is the BP Id of JSE.

⁶⁸ Amended with effect from 1 October 2012

⁶⁹ Amended with effect from 1 November 2012

⁷⁰ Amended with effect from 1 November 2012



3. BP Id (Srl No 4)

This is the BP Id of the Broker for whom the file is being sent.

4. Registered account number (Srl No 11)

This is the broker Nominee account in the books of the Participant. (This information is also available with the Broker.)

5. Account Type (Srl No 14)⁷¹

This account type shows whether the account type is Beneficiary Account (03) or FSB approved Nominee holding a Securities Account under a Broker Nominee (10).

6. Registered account number (Srl No 16)

This is a Registered account number of the Nominee in the books of the Broker Nominee.

7. Beneficiary account number (Srl No 17)

This is the client account in the books of the Broker.

8. Client Name (Srl No 18)⁷²

Notwithstanding the manner in which the account is recorded in the records of the Participant or Broker, the client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following Naming Standards are applicable for listed categories of clients:

- Private Individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” should be recorded by inserting a comma after the first names followed by the account designation.
- Trust Accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name “The” will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.⁷³
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client's name is not permitted.

9. Title (Srl No.19)⁷⁴

The following titles may be used:-

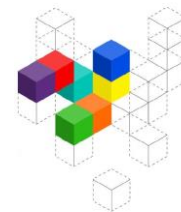
Title Codes

Title Code	Description ⁷⁵
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⁷¹ 5 and 6 inserted with effect from 5 December 2015
⁷² Section inserted with effect from 30 September 2011
⁷³ Amended with effect from 25 August 2014
⁷⁴ Amended with effect from 25 August 2014
⁷⁵ Amended with effect from 1 November 2012



ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COMM	COL Colonel
COUNT	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandant (Afrikaans)
KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR /PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor



RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

10. Address (Srl No 20 & 21)

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000⁷⁶

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

11. Email Address (Srl No 22) – Also see the description for Srl No 32 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the shareholders have the right to receive notices from the Issuers.

12. Consolidated Account Owner (Srl No 26) – If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

13. Language Indicator (Srl No 27) – This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.

01 –English ⁷⁷

02 – Afrikaans

The default is 01 English.

14. Client Category (Srl No 28) – This is an optional field which will reflect the category of the client e.g. RSA citizen, Emigrant etc. The applicable codes are described in the above file layout.

15. Client Identifier (Srl No 29 & 30) – This is an optional field which caters for the client identification number for example the ID number, Company Registration number etc.

16. Holdings (Srl No 34)

This is the quantity of shares held.

17. Report Indicator (Srl No 35) – This field will determine whether or not the Beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.⁷⁸

⁷⁶ Amended with effect from 1 November 2012

⁷⁷ Amended with effect from 1 October 2012

⁷⁸ Amended with effect from 25 August 2014



2.4 FSB APPROVED NOMINEE LAYOUT⁷⁹

Srl No	Name	M/O/C	Field descriptions
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Mandatory Sequence A File Information

1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender Id	M	8x Equities – The 8 character BP ID of the approved Nominee in the Strate SAFIRES application Bonds – The participant code of the approved Nominee in the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
4.	BP Id	M	8x
5.	Holding Date	M	8n (YYYYMMDD)
6.	BIC Code if available or unique number as agreed with Participant	M	11x
7.	Preparation Date	M	8n (YYYYMMDD)
8.	Newline character	M	Newline Character only
	Total number of characters sequence A		67

End of Sequence A File Information

Mandatory Sequence B Account Information

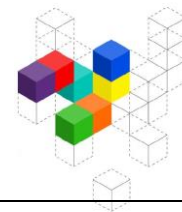
9.	Record Type Indicator	M	1n Value: 2
10.	Safe Custody Account	M	8n Equities – The 8 digit Safe Custody Account belonging to the Participant of the approved Nominee in the Strate SAFIRES application Bonds – The 8 digit Safe Custody Account belonging to the Participant of the approved Nominee in the Strate Bonds application. Because the content is essentially a numeric field and the account number normally allocated, is less than 8 characters long, it must be zero filled from the left, so 123 will appear as '00000123'
11.	Participant Registered account number	M	16x
12.	Newline character	M	Newline Character only
	Total number of characters sequence C		25

End of Sequence B Account Information

Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number

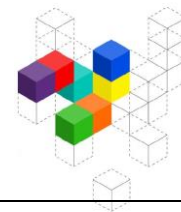
13.	Record Type Indicator	M	1n Value: 3
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⁷⁹ Amended with effect from 5 December 2015



14.	Beneficiary account number	M	16x
15.	Client Name	M	2*35x
16. ⁸⁰	Title	C	10x Mandatory, if it is a natural person
17.	Address	M	4*35x (each line to be padded with trailing spaces where appropriate)
18.	Postal Code	M	4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified.
19.	Email address	C	70x (If Annual Report Indicator is 03 then this field is Mandatory)
20.	Contact Phone	O	24x
21.	Country Code	M	2a
22.	Classification Code	M	4x
23.	Consolidate Account Owner	O	2*35x The name of the Asset/Investment/ Fund Manager
24.	Language Indicator	O	2!n Values: 01 – 11 01 – English 02 – Afrikaans Default is 01 (01 and 02 to be populated at this stage)
25.	Client Category	O	4!n Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
26.	Client Identifier 1	O	30!x Valid Values: 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002, and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x

80 Amended with effect from 25 August 2014



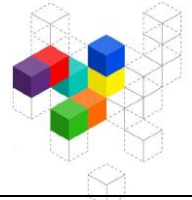
			Trust Deed Registration Number for Category: 0009
27.	Client Identifier 2	O	30!x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces
28.	Newline Character	M	Newline Character only
	Total number of characters sequence C		486

End of Sequence C Client Details**Mandatory Repetitive Sequence C1 Holding Details**

29.	Record Type Indicator	M	1n Value: 4
30.	Identification of Securities	M	12x
31. ⁸¹	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign { carried at the end of the field indicates the holding is positive. 893 (Positive) Holdings would be reflected as:- 0000000089300{ Or as:- 00000000893000
32.	Report Indicator ⁸²	C	2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or to communicate with their shareholders; and the

81 Amended with effect from 25 August 2014

82 Amended with effect from 25 August 2014



			shareholders have the right to receive notices from the Issuers
33.	Newline character	M	Newline Character only
	Total number of characters sequence C1		30

End of Sequence C1 Holding Details**Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation**

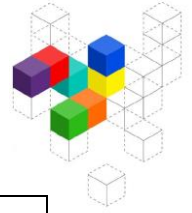
34.	Record Type Indicator	M	1n Value: 5
35.	Beneficiary account number	M	16x
36.	Total number of ISINs for the Beneficiary account	M	6n
37.	Newline character	M	Newline Character only
	Total number of characters sequence C2		23

End of Sequence C2 Beneficiary Account Number Reconciliation**Mandatory Sequence D Account Number Reconciliation**

38.	Record Type Indicator	M	1n Value: 6
39.	Safe Custody Account	M	8n Equities – The 8 digit Safe Custody Account belonging to the Participant of the approved Nominee in the Strate SAFIRES application Bonds – The 8 digit Safe Custody Account belonging to the Participant of the approved Nominee in the Strate Bonds application. Because the content is essentially a numeric field and the account number normally allocated, is less than 8 characters long, it must be zero filled from the left, so 123 will appear as '00000123'
40.	Registered account number	M	16x
41.	Total number of Beneficiary accounts for the Registered account. i.e. Total number of account type 3's	M	6n
42.	Newline character	M	Newline Character only
	Total number of characters sequence D		31

End of Sequence D Account Number Reconciliation**Mandatory Sequence E File Reconciliation Details**

43.	Record Type Indicator	M	1n Value: 7
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44.	File Name	M	23x
45.	Total number of Registered accounts for the FSB / Strate approved Nominee	M	6n Value: 1
	Total number of characters sequence E		30

End of Sequence E File Reconciliation Details

Field Specifications⁸³

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: F
Holding Date	M	8n
BIC Code	M	11x
Serial number	M	2n 01-Full disclosure 02-Incremental disclosure
Filler	M	1b

⁸⁴The file should be sent to Strate in text file format and should be named as follows:

CARE: Institutions creating files directly from a Mainframe application will use the Mainframe layout and those institutions creating the file from an open system will use the Open System layout. (The Mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character).

MAINFRAME LAYOUT⁸⁵

P.EYMMDD.V3. YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V3. YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V3. YYYYYYYY.XXXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Equities)

P.DYMMDD.V3. YYYYYYYY.XXXXXXXXXX.ZXXXX (Ad hoc for the disclosure of Bonds)

- P. is standard for all files.
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds
- V3. refers to the version of the file
- YYYYYYYY. refers to the to the Participants BP ID number e.g. ZA500006
- XXXXXXXX.ZXXXX. must be inserted when providing an ad hoc disclosure and represents the ISIN number being disclosed, the first 8 characters followed by a dot and the last 4 characters which must be preceded by a Z in other words ZAE000463458 will be reflected as ZAE00046.Z3458 and GB0000566504 will be reflected as GB000056.Z6504

N.B. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

⁸³ Amended with effect from 1 October 2012

⁸⁴ This section amended with effect from 1 November 2012

⁸⁵ Amended with effect from 25 August 2014



OPEN SYSTEMS LAYOUT

P.EYMMDD.V3. YYYYYYYY (for the disclosure of Equities)

P.DYMMDD.V3. YYYYYYYY (for the disclosure of Bonds)

P.EYMMDD.V3. YYYYYYYY.ZZZZZZZZZZ (Ad hoc for the disclosure of Equities)

P.DYMMDD.V3. YYYYYYYY.ZZZZZZZZZZ (Ad hoc for the disclosure of Bonds)

- P. is standard for all files,
- EYMMDD. refers to the Holding Date, the E preceding the date denotes Equities and the D denotes Bonds,
- V3. refers to the version of the file,
- YYYYYYYY. refers to the Participants BP ID number e.g. ZA500006,
- ZZZZZZZZZZ. is the ISIN number for the Ad hoc report

N.B. The names should all be uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender Id (Srl No 3)

This is the BP Id to be provided by Strate.

3. BP Id (Srl No 4)

This is the BP Id of the FSB or Strate approved Nominee.

4. Registered account number (Srl No 11)

This is the FSB or Strate approved Nominee account in the books of the Participant.

5. Beneficiary account number (Srl No 14)

This is the client account in the books of the FSB or Strate approved Nominee.

6. Client Name (Srl No 19)⁸⁶

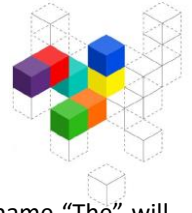
Notwithstanding the manner in which the account is recorded in the records of the Participant or Broker, the client's name in the BND must indicate the identity of the Beneficiary. In respect of Own Name clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following Naming Standards are applicable for listed categories of clients:

- Private Individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BND format is 2*35x and the first names are to follow directly after the comma, in other words the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No 2 A/c” or “Blocked Rand Account” should be recorded by inserting a comma after the first names followed by the account designation.
- Trust Accounts – In terms of the Trust Property Control Act, 1988, an account or investment at a financial institution must be identifiable as a trust account or trust investment. To accommodate the requirements, the

⁸⁶ Section inserted with effect from 30 September 2011



recording of trusts will be as follows – AB Family Trust. To facilitate sorting of shareholders by name “The” will not be recorded, in other words The AB Family Trust must be recorded as AB Family Trust.⁸⁷

- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

NB. The use of symbols such as * # ^ etc. or combinations or variations of these as part of the Client’s name is not permitted.

7. Title (Srl No.20)⁸⁸

The following titles may be used:-

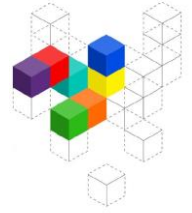
Title Codes

Title Code	Description ⁸⁹
ADMIN	Administrator
ADML	Admiral
ADV	Advocate
AJ	Appeal Judge
BARON	Baron
BARONESS	Baroness
BRIG	Brigadier
BWYLE	Boedel Wyle (Afrikaans)
CAPT	Captain
CHIEF	Chief
COL	Colonel
COMM	Commander
COUNT	Count
COUNTESS	Countess
DAME	Dame
DR	Doctor
DS	Dominee (Afrikaans)
DUCHESS	Duchess
DUKE	Duke
EKS	Eksekuteur (Afrikaans)
EST LATE	Estate Late
ESTATE OF / THE ESTATE	Estate of / The Estate
EX	Executor
FATHER	Father
GEN	General
GENMAJ	General Major / Generaal Majoor (Afrikaans)
HON	Honourable
HRH	His or her Royal Highness
INSP	Inspector / Inspekteur (Afrikaans)
JUDGE	Judge
JUSTICE	Justice
KAPT	Kaptein (Afrikaans)
KOL	Kolonel (Afrikaans)
KMDT	Kommandat (Afrikaans)

⁸⁷ Amended with effect from 25 August 2014

⁸⁸ Amended with effect from 25 August 2014

⁸⁹ Amended with effect from 1 November 2012



KONST	Konstabel (Afrikaans)
LADY	Lady
LT	Lieutenant
MADAM	Madam
MAJ	Major
MASTER	Master
ME	Mejuffrou / Mevrou (Afrikaans)
MEJ	Mejuffrou (Afrikaans)
MESSRS	Messieurs (male plural)
MEV	Mevrou (Afrikaans)
MRS	Mistress (female married singular)
MISS	Miss
MNR	Meneer (Afrikaans)
MR	Mister
MS	Miss
PASTOR / PSTR	Pastor
PASTOOR / PSTR	Pastoor (Afrikaans)
PRINCE	Prince
PRINCESS	Princess
PROF	Professor
RABBI	Rabbi
REGTER	Regter (Afrikaans)
REV	Reverend
SER	Sersant (Afrikaans)
SGT	Sergeant
SIR	Sir
SISTER	Sister

8. Address (SRL No 21 & 22)⁹⁰

A valid address conforming to accepted postal standards, including a postal code must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000⁹¹

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field or an incomplete addresses as well as the use of symbols such as * # ^ etc. or variations of these as part of the address, is not permitted.

9. Email Address (Srl No 19) – Also see the description for Srl No 32 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words the field will be populated with the e-mail address of the beneficiary if the mail option selected is 03. NB. In terms of the Companies Act, 2008, Issuers have the responsibility to give notices to, and/or communicate to with their shareholders; and the shareholders have the right to receive notices from the Issuers.

10. Consolidated Account Owner (Srl No 23) – If the assets of the Beneficiary are being administered by an Asset, Investment or Fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

11. Language Indicator (Srl No 24) – This field reflects the official language of the Beneficiary and is optional. The system will eventually allow for 01 to 11 to cater for all the official languages. At this stage it has been agreed that only the following codes will be used.

01 –English

02 – Afrikaans

The default code is 01 English.

⁹⁰ Inserted with effect from 30 September 2011

⁹¹ Inserted with effect from 1 November 2012



12. Client Category (Srl No 25) – This is an optional field which will reflect the category of the client e.g. RSA citizen, Emigrant etc. The applicable codes are described in the above file layout.

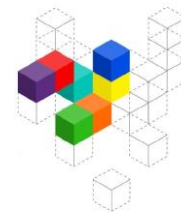
13. Client Identifier (Srl No 26 and 27) – This is an optional field and caters for the identification number, for example the ID number, Company Registration number etc.

14. Holdings (SRL No 31)

This is the quantity of shares held.

15. Report Indicator (Srl No 32) – This field will determine whether or not the Beneficiary requires annual reports, or other Issuer communication, to be sent directly to the shareholder by the Issuer. It also defines the method of communication i.e. mail or e-mail.⁹²

⁹² Amended with effect from 25 August 2014



3. OUTPUT FILE LAYOUT

3.1 ISSUER / TRANSFER SECRETARY LAYOUT⁹³

Srl No	Name	M/O/C	Field descriptions
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Mandatory Sequence A File Information

1.	Record Type Indicator	M	1n Value: 1
2.	File Name	M	23x
3.	File Sender Id	M	8x
4.	Holding Date	M	8n (YYYYMMDD)
5.	Preparation Date	M	8n (YYYYMMDD)
6.	Newline character	M	Newline Character only

End of Sequence A File Information

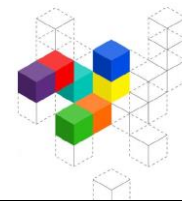
Mandatory Repetitive Sequence B Security Details Information

7.	Record Type Indicator	M	1n Value: 2
8.	Identification of securities	M	12x
9.	Newline character	M	Newline Character only

Mandatory Repetitive Sequence B1 CSDP & SCA Holding Details

10.	Record Type Indicator	M	1n Value: 3
11.	BP Id	M	8x
12.	BP Name	M	35x
13.	BP Address	M	4*35x
14.	BP Postal Code	O	13x
15.	BP Email Address	O	70x
16.	Contact Person	O	35x
17.	Contact Phone	O	24x
18.	Safe Custody Account	M	8n Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
19.	Holdings	M	s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holding:

⁹³ Title amended with effect from 5 December 2015



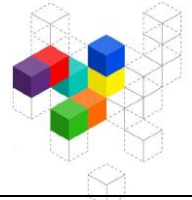
			<p>S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) Holdings would be reflected as :- 00000000089300}</p> <p>893 (Positive) Holdings would be reflected as:- 00000000089300{</p> <p>Or as:- 000000000893000</p>
20.	Reconciliation Indicator	M	<p>1x</p> <p>Values:</p> <p>Y – Successful</p> <p>N – Fail</p>
21.	Newline character	M	Newline Character only

Mandatory Repetitive Sequence B1a Client Holding Details⁹⁴

22.	Record Type Indicator	M	<p>1n</p> <p>Value:</p> <p>4</p>
23. ⁹⁵	Account type	M	<p>2nValues:</p> <p>01 – Own Name account</p> <p>02 – Nominee account</p> <p>03 – Beneficiary account</p> <p>04 – Broker Nominee account</p> <p>05 – FSB or Strate approved Nominee</p> <p>06 – SDA</p> <p>07 – SDA: Participant Nominee account</p> <p>08 – SDA: Broker Nominee account</p> <p>09 – SDA: FSB approved Nominee account</p> <p>10 – FSB approved Nominee holding a Securities Account under a Broker Nominee</p>
24.	Registered account number	M	16x
25.	Beneficiary account number	C	<p>16x</p> <p>(Mandatory when account type is 3, not present for other account types)</p>
26.	Client Name	C	2*35x
27.	Title	O	10x
28.	Address	M	4*35x
29.	Postal Code	M	<p>13x</p> <p>Postal Code Standards to be used</p>
30.	Email address	C	70x

⁹⁴ Amended with effect from 1 October 2012

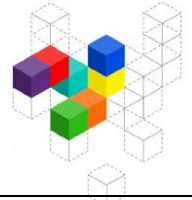
⁹⁵ Amended with effect from 5 December 2015



			[If Annual Report Indicator is 03, then this field is Mandatory)
31.	Contact Phone	O	24x
32.	Country Code	C	2a (Mandatory when account type is 1, 3 or 6 not mandatory for other account types)
33.	Classification Code	C	4x (Mandatory when account type is 1, 3 or 6 not mandatory for other account types)
34. ⁹⁶	Client Category	O	4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts
35.	Client Identifier 1	O	30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009
36. ⁹⁷	Holdings	C	s15!d

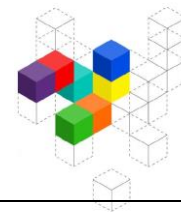
⁹⁶ 34 and 35 inserted with effect from 1 November 2016. 36 to 51 re-numbered with effect from 1 November 2016.

⁹⁷ Amended with effect from 5 December 2015



		<p>(Mandatory for account types 01,02,03,04,05,06,07,08 and 09)</p> <p>12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) Holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) Holdings would be reflected as:- 0000000089300{</p> <p>Or as:- 00000000893000</p>
37. ⁹⁸	<p>The holdings of FSB approved Nominee holding a Securities Account under a Broker Nominee</p>	<p>C</p> <p>s15!d (Mandatory only for account type 10)</p> <p>12 integers followed by 3 decimal places with an implied comma. This field represents the holding: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive.</p> <p>i.e – 893 (Negative) Holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) Holdings would be reflected as:- 0000000089300{</p> <p>Or as:- 00000000893000</p>

⁹⁸ Section inserted with effect from 5 December 2015



38.	Report Indicator ⁹⁹	O	1a 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail 04 – Indicates 'No'. Not required (default)
39.	Reconciliation Indicator	M	1x Values: Y – Successful N – Fail
40.	Newline character	M	Newline Character only

Mandatory Sequence B2 Account Reconciliation Details

41.	Record Type Indicator	M	1n Value: 5
42.	Safe Custody Account	M	8n Equities – The 8 character BP ID of the Participant in the Strate SAFIRES application Bonds – The participant code of the Participant on the Strate Bonds application. Codes less than 8 characters must be space filled and ABCD will appear as 'ABCD '
43.	Total number of Registered account and Beneficiary account combination for the Safe Custody Account	M	6n
44.	Newline character	M	Newline Character only

Mandatory Sequence B3 Security & Account Reconciliation Details

45.	Record Type Indicator	M	1n Value: 6
46.	Identification of securities	M	12x
47.	Total number of SCAs for the specified ISIN	M	6n
48.	Newline character	M	Newline Character only

Mandatory Sequence B4 File Reconciliation Details

49.	Record Type Indicator	M	1n Value: 7
50.	File Name	M	23x
51.	Total number of ISINs for the file	M	6n

⁹⁹ Inserted with effect from 3 June 2013



Field Specifications¹⁰⁰

1. Filename (Srl No 2)

Subfield	M/O/C	Field descriptions
Indicator	M	1a Value: T
Holding Date	M	8n
Serial number	M	2n Value 01

2. File Sender Id (Srl No 3)

This is the BP Id of Strate.

3. BP Id (Srl No 11)

This is the BP Id of the Participant.

4. Holdings (SRL No 19)

This is the holding for the specified SCA.

5. Registered Account Number (Srl No 24)

This is the Own Name or Nominee account in the books of the Participant.

6. Beneficiary Account Number (Srl No 25)

This is the client account under the registered account in the books of the Participant or Broker.

7. Broker Nominee Holdings (Srl No 37)

This is the holding specified by the Broker for a FSB approved Nominee holding a Securities Account under a Broker Nominee.¹⁰¹

8. Annual Report Indicator (Srl No 38) – An indicator defining whether an annual report is required for the specific Beneficiary account and ISIN. The default is N.

¹⁰⁰ Amended with effect from 1 October 2012

¹⁰¹ Inserted with effect from 5 December 2015