

STRATE SPECIAL GAZETTE

NUMBER: S4-2014

DATE : 24 July 2014

AMENDED DIRECTIVES

The Head of STRATE Supervision has authority in terms of Annexure 1 of the Regulatory and Supervisory Committee Terms of Reference to approve consequential amendments to Directives.

Following approval by the Head of STRATE Supervision of various consequential amendments, the following Directives are hereby released for information:

- Directive SA.2 - Requirements for Financial Soundness
- Directive SA.5 - Provision for Bi-Annual Statements
- Directive SA.6 - Strate Compliance Officer Appointments
- Directive SA.9 - Segregated Depository Accounts: Opening, Administration and other Procedures
- Directive SF.1 - Fines Schedule - Rules
- Directive SF.2 - Fines Schedule - On-market and Off-market - Equities
- Directive SF.3 - Fines Schedule - On-market and Off-market - Bonds
- Directive SF.4 - Fines Schedule - Compliance
- Directive SF.5 - Fines Schedule - Money Market Securities

These Directives were implemented on 14 July 2014.



MARIA VERMAAS

Head - Legal and Regulatory Division

24 July 2014

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