

SPECIAL GAZETTE

NUMBER: S8-2011

DATE: 18th July 2011

GENERAL INFORMATION

DIRECTIVES NAMING CONVENTION

Following approval by the Strate Ltd Regulatory and Supervisory Committee and the Head of Supervision, the attached Directives Naming Convention is hereby released.

Strate recently reviewed the current Directives Naming Convention in light of comments received over the last decade. To make the reference to Directives' easier to understand, the Directives have been re-grouped into specific categories, namely: CSD participation; dematerialisation; the three different markets; fines and fees. In the new numbering 'S' represents 'Strate'; the letter e.g. 'A' represents each of the categories; and the number e.g. '1' represents the order of each Directive per category.

The effective date of the new Naming Convention will be 25th July 2011 by which time the amended Directives will be on the website.



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In this document the new Directive numbers and names are underlined and the old numbers and names are in square brackets [].

SECTION A: CSD PARTICIPATION

- [SAA] [Application form for CSD Participation – Form S1]
SA.1 Application form to Become a CSD Participant
- [SAB] Requirements for Financial Soundness
SA.2
- [SDC] Client Acceptance Procedure
SA.3
- [SDD] [SDD Client Acceptance Procedure in terms of Rule 6.3.2.6 “Own Name” Client]
SA.4 Requirements for Own Name Clients
- [SDA] [Bi-Annual Statements]
SA.5 Provision of Bi-Annual Statements
- [SAJ] Strate Compliance Officer Appointments
SA.6
- [SAN] Application for Approval of a Nominee
SA.7
- [SDB] [File Layout for disclosure of beneficiary ownership (Beneficiary Download)]
SA.8 File Layout for Disclosure of Beneficial Ownership (BND) – Equities and Bonds

SECTION B: DEMATERIALISATION

- [SBA] [Dematerialisation and Rematerialisation Business Model – Equities]
SB.1 Procedure for Conversion of Certificated Equities to Uncertificated Equities and Vice Versa
- [SBB] Procedures for Conversion of Certificated Bonds to Uncertificated Bonds and Vice Versa
SB.2

SECTION C: EQUITIES

- [SCC] [Operational Market Windows – Equities]
SC.1 Operational Market Windows – On-market – Equities
- [SCV] [Best Practices for Off-Market Trades]
SC.2 Operational Market Windows – Off-market – Equities
- [SCB] [Special circumstances for the reversal of the commitments]
SC.3 Special Circumstances for the Reversal of Commitments – Equities
- [SDJ] [Processing of Corporate Actions Equities]
SC.4 Processing of Corporate Actions – Equities
- [SDV] [Proxy Voting Procedure]
SC.5 Proxy Voting Procedure – Domestic Companies – Equities
- [SDK] [Proxy Voting Procedure in respect of Foreign Listed Companies]
SC.6 Proxy Voting Procedure – Foreign Incorporated Companies – Equities

SECTION D: BONDS

- [SFF] [Operational Market Windows – Bonds]
SD.1 Operational Market Windows – On-market – Bonds
- [SFA] [Best Practices for settlement of Off-Market Bonds Trades]
SD.2 Operational Market Windows – Off-market – Bonds
- [SFD] [Corporate Actions Processing – Bonds]
SD.3 Processing of Capital Events – Bonds
- [SFE] [Proxy Voting – Bonds]
SD.4 Proxy Voting Procedure – Bonds

SECTION E: MONEY MARKET SECURITIES

- [SGF] Issuing of Money Market Securities
SE.1
- [SGB] Master File Administration – Money Market Securities
SE.2
- [SGA] Operational Market Windows – Money Market Securities
SE.3
- [SGC] Electronic Trade Reporting, Matching, Clearing, Commitment and Settlement – Money Market Securities
SE.4
- [SGD] [Capital Events in respect of Money Market Securities]
SE.5 Processing of Capital Events – Money Market Securities

SECTION F: FINES

- [SCP] [Fines Schedule 1]
SF.1 Fines Schedule – Rules
SF.2 Fines Schedule – On-market and Off-market – Equities
- [SCP] [Fines Schedule 2]
- [SFB] [Fines Schedule 1 for the Settlement of Off-market Bonds Trades]
SF.3 Fines Schedule – On-market and Off-market – Bonds
- [SCP] [Fines Schedule 4]
SF.4 Fines Schedule – Compliance

SECTION G: FEES

- [SAF] [Strate Fees – Equities]
SG.1 Fees - Equities
- [SFC] [Strate Fees – Bonds]
SG.2 Fees – Bonds
- [SGH] Fees – Money Market Securities
SG.3