



# Government Gazette

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## BOARD NOTICES

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### NOTICE 16 OF 2005

### FINANCIAL SERVICES BOARD

### REGISTRAR OF SECURITIES SERVICES

### SECURITIES SERVICES ACT, 2004

### REPORT BY SELF-REGULATORY ORGANISATION TO THE REGISTRAR

Under section **59** of the Securities Services Act, 2004 (Act No. 36 of 2004), I, Jeffrey van Rooyen, hereby prescribe in the Schedule the information that must be contained in the annual report of a self-regulatory organisation.

**J VAN ROOYEN**

**Registrar of Securities Services**

### SCHEDULE

#### **Information that must be contained in the annual report of a self-regulatory organisation**

1. A self-regulatory organisation must submit to the registrar within four months after its financial year-end an annual report that must contain the following information:
  - (a) **A** list of members of the controlling body of the self-regulatory organisation and any changes thereto over the last financial year;

- (b) a list of members of the **executive/management** committee of the self-regulatory organisation and any changes thereto over the last financial year;
- (c) a list of authorised users or participants of the self-regulatory organisation and any changes thereto over the last financial year;
- (d) a report by the chairperson and/or chief executive officer reviewing the operations of the self-regulatory organisation over the last financial year;
- (e) an auditors report on the annual financial statements;
- (f) a summary of market information which must reflect the salient features of the trading, settlement ~~or~~ other activities, as applicable, of the self-regulatory organisation;
- (g) a report detailing the self-regulatory organisation's initiatives and plans to implement the recommendations of the King Code on corporate governance;
- (h) a status report on the consumer education initiatives, if any, of the self-regulatory organisation;
- (i) a status report on the self-regulatory organisation's initiatives, if any, in the Southern African Development Community region; and
- (j) a report on risk mitigation, operational integrity, and related issues.

### **Commencement**

2. This Notice comes into operation on the same date on which the Securities Services Act, 2004, comes into operation.