

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
9.17	<i>If the answer to question 9.1 is NO – questions 9.17.1 to 9.17.4 must be answered</i>					
9.17.1	Is the FSP a reporting institution in terms of Schedule 3 of FICA?					
9.17.1.1	<i>If the answer to question 9.16.1 was YES-</i> Has the FSP registered with the Financial Intelligence Centre in terms of section 43B of FICA?					
9.17.2	Does the FSP have procedures in place to ensure that the staff is able to identify suspicious transactions and report it accordingly?					
9.17.3	Does the FSP have procedures in place to ensure remaining up to date with the requirements of the Financial Intelligence Centre in respect of identifying and reporting suspicious and unusual transactions?					
9.17.4	Does the FSP have procedures in place to ensure submission of cash threshold reports in terms of section 28 of FICA?					
10	Operational ability and financial soundness Parts VIII and IX of Determination of Fit and Proper Requirements and section 19 of Act					
10.1	During the reporting period did the assets of the FSP (excluding goodwill, other intangible assets and investments in related parties) at all times exceed the FSP's liabilities (excluding loans validly subordinated in favour of all other creditors)?					
10.2	During the reporting period did the FSP at all times maintain current assets which were sufficient to at least meet its current liabilities?					
10.3	During the reporting period did the FSP at all times maintain liquid assets equal to or greater than 8/52 weeks of annual expenditure?					
10.4	Does the FSP prepare monthly accounting records in terms of section 19 of the Act?					
10.5	Does the FSP prepare audited financial statements on an annual basis, irrespective of the FSP's type of business entity?					

		Column				
Question		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
10.6	Did you (compliance officer) have unrestricted access to view the accounting records of the FSP during the reporting period?					
10.6.1	<i>If the answer to Question 10.6 is NO -</i> In a separate annexure, give an explanation as to the reasons for the FSP denying access to the accounting records. Indicate the annexure number in column 5.					
10.7	Does the FSP have internal procedures and controls in place to ensure that section 8(3) of the Determination of Fit and Proper Requirements is complied with?					
10.7.1	<i>If the answer to question 10.7 is NO -</i> In a separate annexure, indicate the steps taken to ensure that the relevant controls and procedures are put in place. Indicate the annexure number in column 5.					
11	Monitoring					
11.1	Does the FSP have an approved compliance officer? If YES, indicate the type of monitoring that the compliance officer performed:					
11.1.1	Financial products in respect of which the FSP renders financial services.					
11.1.2	Representatives under supervision.					
11.1.3	Juristic representatives					
11.1.4	Disclosure documents to check compliance with sections 4 and 5 of the General Code of Conduct.					
11.1.5	Disclosure documents to check compliance with section 7 of the General Code of Conduct.					
11.1.6	Furnishing of advice and record of advice.					
11.1.7	Receipt of funds and/or collection of premiums.					
11.1.8	Waiver of rights.					
11.1.9	Money laundering control procedures.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
11.1.10	Exchange control regulations (in case of a forex FSP).					
11.1.11	Policies and procedures.					
11.1.12	Mandates and application forms.					
11.1.13	Conflict of interest management policy					
11.1.14	Direct marketer's telesales script and telesales voice recordings to check compliance with Section 15 of the General Code of Conduct.					
11.1.15	Other. Please provide details of other type of monitoring in a separate annexure and indicate the annexure number in column 5.					
11.2	In a separate annexure, provide an explanation as to how you did the monitoring (methodology). Please also include the extent of monitoring. Indicate the annexure number in column 5.					
SECTION 2 – DISCRETIONARY FSPs						
12	Particular duties/obligations relating to discretionary FSPs					
12.1	Prohibitions and duties of discretionary FSP <i>Section 3 of Code of Conduct for Discretionary FSPs, 2003</i>					
12.1.1	Does the FSP have procedures in place to ensure that it does not-					
12.1.1.1	sell or provide a third party with clients' detail, unless obliged by law to do so?					
12.1.1.2	directly or indirectly, sell any financial products owned by the FSP, to any client or buy for own account, any financial product owned by the client?					
12.1.1.3	directly or indirectly, engage in the netting of transactions?					
12.1.2	Did the FSP exercise a vote in a ballot conducted by a collective investment scheme or exercise voting rights on behalf of clients without relevant client's prior approval?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.2	Mandate <i>Section 5 of Code of Conduct for Discretionary FSPs, 2003</i>					
12.2.1	Did the Registrar approve all specimen mandates used by the FSP?					
12.2.2	Does the FSP have procedures in place to ensure that the FSP only deals with clients in respect of whom mandates, which comply with paragraph 5 of the said Code, have been obtained?					
12.2.3	Does the FSP have procedures in place to ensure that all cash, assets and documents of title are returned to the clients on termination of the mandate?					
12.2.4	Does the FSP have procedures in place to ensure that the clients are issued with final statement accounts?					
12.2.5	Does the FSP have procedures in place to ensure that the client's investments are managed in terms of the mandates?					
12.2.6	Did the FSP invest any funds of clients in terms of the mandate into companies and/or structures in which the FSP or any associated group or entity have an interest in?					
12.2.7	<i>If the answer to Question 12.2.6 is YES -</i> Provide full details of such instances in a separate annexure and indicate the annexure number in column 5.					
12.3	Reporting to clients <i>Section 6 of Code of Conduct for Discretionary FSPs, 2003</i>					
12.3.1	Does the FSP have procedures in place to ensure that reports are sent to clients within the periods as required by the said section 6?					
12.3.2	Did the FSP comply with the requirements of the said section 6 in all instances?					
12.3.3	<i>If the answer to Question 12.3.2 is NO –</i> Provide details of any instances of non-compliance found as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure. Indicate the annexure number in column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.4	Administration					
12.4.1	Did the FSP hold and/or manage funds on behalf of clients during the reporting period?					
12.4.2	<i>If the answer to Question 12.4.1 is YES, questions 12.4.2.1 to 12.4.6 must be answered.</i>					
12.4.2.1	As a separate annexure, submit an organogram of the FSP and details of the FSP's administrative system that is utilised for managing client assets. Indicate the annexure number in column 5.					
12.4.2.2	As a separate annexure, submit details of the computer software packages and/or programmes that the FSP utilises in the administration process. Indicate the annexure number in column 5.					
12.4.3	Does the FSP outsource any of its functions? Provide details of the outsourced functions (type of functions as well as whom it has been outsourced to) in a separate annexure. Indicate the annexure number in column 5.					
12.4.4	Does the FSP manage assets on behalf of retirement funds and/or insurance companies?					
12.4.5	<i>If the answer to Question 12.4.4 is YES –</i> Does the FSP have procedures in place to establish whether the assets are held in the name of the client or in the name of an approved nominee company?					
12.4.6	Does the FSP hold separate accounts in the name of the clients?					
12.5	Assets under management					
12.5.1	Did the FSP have assets under management as at the reporting date? If answer is YES, the Statistical Information Sheet (Section 6) must be completed.					
12.6	Nominee companies <i>Section 8 of General Code of Conduct for Discretionary FSPs, 2003</i>					
12.6.1	Does the FSP hold client investments?					
12.6.2	<i>If the answer to Question 12.6.1 is YES – questions 12.6.2.1 to 12.6.2.3 must be answered</i>					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.6.2.1	Does the FSP hold client investments in its own nominee company approved by the Registrar as required in terms of regulation 6 of the Regulations?					
12.6.2.2	Does the FSP make use of another approved nominee company to hold client assets?					
12.6.2.3	As a separate annexure, attach a list of nominee companies that the FSP make use of to hold client assets. Also indicate whether the nominee company holds assets on behalf of pension funds, long-term insurers or short-term insurers. Indicate the annexure number in column 5.					
12.7	General functions					
12.7.1	Does the FSP manage client's funds in wrap funds or structured funds on an administrative FSP's platform?					
12.7.2	<i>If the answer to question 12.7.1 is YES –</i> In a separate annexure, provide details of the funds and underlying assets in the wrap funds or structured funds. Provide the annexure number in column 5.					
12.7.3	Is the FSP authorised to render financial services for long-term Insurance products?					
12.7.3.1	<i>If the answer to Question 12.7.3 is YES -</i> In a separate annexure, list the names of product suppliers that the FSP utilises. Indicate the annexure number in column 5.					
12.7.4	Were any client funds invested in any unapproved CIS funds during the reporting period?					
12.7.5	Were any client funds invested on foreign platforms during the reporting period?					
12.7.6	Were any client funds invested in insurance products during the reporting period?					
12.7.7	Did the FSP manage private equity funds during the reporting period?					
SECTION 3 – FOREX FSPs <i>The Forex code covers forex investments which are investments in a financial product referred to in paragraph (e) of the definition of "financial product" in section 1(1) of the</i>						

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	Act					
13	Particular duties/obligations relating to forex FSPs					
13.1	<i>If the FSP is licensed for subcategory 1.15 Question 13.2 must be answered (where relevant, questions 13.3.1 to 13.3.19 should also be answered)</i>					
13.2	Is the FSP licensed to give advice as a forex service provider?					
13.3	If the answer to question 13.2 is YES - Questions 13.3.1 to 13.3.19 must be answered.					
13.3.1	In a separate annexure, provide details of the clearing firm that the FSP deals with as well as the name and contact details of the Regulator. Indicate the annexure in column 5.					
13.3.2	Did the FSP provide clients with the name and contact details of the clearing firm?					
13.3.3	Did the FSP provide clients with the name and contact details of the Regulator under whose jurisdiction the activity of the clearing firm falls?					
13.3.3.1	<i>If the answer to Question 13.3.3 is YES –</i> In a separate annexure, provide a copy of a written application form utilised for clients' purposes that was approved by the Registrar. Indicate the annexure number in column 5.					
13.3.3.2	In respect of self-directed accounts provide details in a separate annexure on how the FSP ensures that clients are sophisticated and have the necessary trading skills to start trading themselves. Indicate the annexure number in column 5.					
13.3.3.3	Does the FSP provide regular training sessions to educate and assist the clients to optimise their trading skills?					
13.3.4	Did the FSP make any substantial/material changes to this application form without prior approval of the Registrar?					
13.3.5	Does the FSP take reasonable steps to ensure that the forex investment to be advised on is suitable for the client?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
13.3.6	<i>If the answer to Question 13.3.5 is YES –</i> In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure that the client's objectives, risk appetite, financial situation and foreign investment product experience are obtained in order to act in their interests at all times. Indicate the annexure number in column 5.					
13.3.7	In a separate annexure, provide full details of the procedures that the FSP have put in place to ensure that risks associated with forex investments (including currency fluctuations), are disclosed to clients? Indicate the annexure number in column 5. If a standard disclosure document is used, please include a copy thereof as part of the annexure.					
13.3.8	In a separate annexure, provide full details of the procedures that the FSP have put in place to ensure that risks associated with forex investments (including currency fluctuations), are disclosed to clients? Indicate the annexure number in column 5. If a standard disclosure document is used, please include a copy thereof as part of the annexure.					
13.3.9	Does the FSP have procedures in place to ensure that the forex investment intermediary, to whom clients are referred to, is an authorised FSP?					
13.3.10	Does the FSP have an appropriate written agreement in place to govern the relationship with forex intermediaries to whom clients are referred?					
13.3.11	Does the FSP ensure that clients comply with exchange control legislation (including tax legislation) when giving advice on forex investment business? If any instances of non-compliance were found, please provide full details thereof as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure and indicate annexure number in column 5.					
13.3.12	Does the FSP advise clients to invest by means of margin trading?					
13.3.13	<i>If the answer to Question 13.3.12 is YES –</i> In a separate annexure, provide full details of the procedure that the FSP has put in place to ensure that the minimum leverage required does not exceed widely used industry norms. Indicate the annexure number in column 5.					
13.3.14	In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure all fees, charges, costs and commission payable to the different stakeholders involved in the forex investment process are fully and adequately disclosed.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
13.3.15	Does the FSP directly obtain reports and statements from the clearing firm or foreign forex services provider and make them available to clients in a hard copy format or by electronic means?					
13.3.16	If the reports and statements referred to in question 13.3.15 are generated by the clearing firm or foreign forex services provider, can the contents of the statements be altered by the FSP before being made available to clients or viewed online?					
13.3.17	In a separate annexure, provide a full explanation setting out how client's funds which are held offshore will be treated if the FSP is wound up, liquidated or ceases to conduct business for any reason. Indicate the annexure number in column 5.					
13.3.18	Does the FSP ensure that a foreign forex services provider which holds investments on behalf of clients maintains insurance cover to guard against risk of loss due to fraud, dishonesty and negligence?					
13.3.19	Is the FSP a forex spot trader as defined in the <i>Forex Investment Business Code of Conduct</i> ? Provide full details of the clearing firm as well as the Regulator in a separate annexure and indicate the annexure number in column 5.					
13.4	Special prohibitions applying to forex investment intermediaries <i>Section 5 of Forex Investment Business Code of Conduct</i>					
13.4.1	Is the FSP licensed for subcategory 2.12?					
13.4.2	If the answer to question 13.4.1 is YES – questions 13.4.2.1 to 13.4.2.29 must be answered					
13.4.2.1	Does the FSP render forex investment intermediary services as a regular feature of business?					
13.4.2.2	Provide full details of the clearing firms the FSP deals with as well as the name and contact details of the Regulator in a separate annexure and indicate annexure number in column 5.					
13.4.2.3	In a separate annexure, provide a list of the product suppliers and the countries they are domiciled in as a separate annexure and indicate annexure number in column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop-mental area	Annexure number
13.4.2.4	Does the FSP deal on behalf of clients by means of margin trading?					
13.4.2.5	<i>If the answer to Question 13.4.2.4 is YES –</i> In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure that the minimum leverage required does not exceed widely used industry norms. Indicate the annexure number in column 5.					
13.4.2.6	Did the FSP amend the specimen mandates substantially during the reporting period without prior written approval of the Registrar?					
13.4.2.7	If the FSP amended any specimen mandates during the reporting period, did the Registrar approve such substantial amendments?					
13.4.2.8	Does the FSP have procedures in place to ensure that it only deals with clients in respect of whom mandates, which comply with section 5 of the said Code, have been obtained?					
13.4.2.9	In a separate annexure, provide details of the trading system or platform that the FSP utilises, and indicate the annexure number in column 5.					
13.4.2.10	Does the FSP have procedures in place to ensure that client accounts are not churned?					
13.4.2.11	Does the FSP have clients in respect of managed accounts? If the answer is YES, the Statistical Information Sheet (Section 6) must be completed.					
13.4.2.12	Does the FSP take reasonable steps to ensure that the forex investment product to be intermediated on is suitable for clients?					
13.4.2.13	<i>If the answer to Question 13.4.2.12 is YES-</i> In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure that the client's financial situation, financial product experience and objectives are obtained. Indicate the annexure number in column 5.					
13.4.2.14	In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure that clients are provided, in a comprehensible and timely manner, with information regarding investments made, market practices and the inherent risks of forex investment products including currency fluctuations. Indicate the annexure number in column 5.					
13.4.2.15	In a separate annexure, provide full details of the procedures that the FSP has put in place to					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	ensure all fees, charges, costs and commission payable to the different stakeholders involved in the investment/trading process are fully and adequately disclosed. Indicate the annexure number in column 5.					
13.4.2.16	Did the FSP comply with exchange control legislation (including tax legislation) when dealing with forex investment business?					
13.4.2.17	<i>If the answer to Question 13.4.2.16 is NO –</i> Provide full details of any instances of non-compliance found as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure. Indicate the annexure number in column 5.					
13.4.2.18	Is the FSP licensed to render financial services relating to investments in foreign products issued by foreign product suppliers and held foreign currency?					
13.4.2.19	Did the FSP provide clients with the name and contact details of the clearing firm?					
13.4.2.20	Did the FSP provide clients with name and contact details of the Regulator under whose jurisdiction the trading activity of the clearing firm or foreign forex services provider takes place?					
13.4.2.21	In a separate annexure, provide full details of the trading system or platform that the FSP utilises, and indicate the annexure number in column 5.					
13.4.2.22	Does the FSP directly obtain reports and statements from the clearing firm and make them available to clients in hard copy or by electronic means?					
13.4.2.23	If the statements referred to above are generated by clearing firm, can the contents thereof be altered by the FSP before being made available to clients or viewed online?					
13.4.2.24	In a separate annexure, provide an explanation setting out how clients' funds held offshore will be treated if the FSP is wound up, liquidated or ceases to conduct business. Indicate the annexure number in column 5.					
13.4.2.25	Did the FSP, through a power of attorney or discretionary dealing authority, receive or handle clients' funds on behalf of a clearing firm during the reporting period?					
13.4.2.26	<i>If the answer to Question 13.4.2.25 is YES –</i>					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	Were clients' funds held separately from own funds and were they easily identifiable at all times during the reporting period?					
13.4.2.27	Does the FSP have a full discretion to trade or intermediate client's trading accounts?					
13.4.2.28	<i>If the answer to Question 13.4.2.27 is YES – In a separate annexure, provide a copy of the written specimen mandate utilised by the FSP. Indicate annexure number in column 5.</i>					
13.4.2.29	Does the FSP ensure that a foreign forex service provider which holds investments on behalf of clients maintains insurance cover to guard against risk of loss due to fraud, dishonesty and negligence?					
SECTION 4 – HEALTH SERVICES BENEFITS						
14	Accreditation under section 65(3) of Medical Schemes Act, 1998 Section 8(7)(e) of Act					
14.1	Is the FSP licensed to render financial services relating to health services benefits?					
14.2	<i>If the answer to Question 14.1 is YES – questions 14.2.1 to 14.2.4 must be answered</i>					
14.2.1	Was the accreditation of the FSP in terms of section 65(3) of the Medical Schemes Act, 1998, during the reporting period suspended, or withdrawn, or did it lapse? Provide details of any such suspensions, withdrawals or lapses as a separate annexure to the report and indicate the annexure number in column 5.					
14.2.1.1	<i>If the answer to Question 14.2.1 is YES – Was a profile change request submitted to the Registrar in order for the health services subcategory to be removed from the FSP's licence?</i>					
14.2.2	The details of the accreditation with the Council for Medical Schemes (ORG numbers for entities and BR numbers for key individuals) must be completed on the Statistical Information Sheet (Section 6).					
14.2.3	Does the FSP have any corporate clients? If the answer is YES, the Statistical Information Sheet (Section 6) must be completed.					

[illegible]

SECTION 6 – STATISTICAL INFORMATION SHEET

6.1 REPRESENTATIVES AT REPORTING DATE		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMERIC AMOUNT
Number of representatives	4.1	
Number of representatives who have passed the First Level Regulatory Exam (RE 1)	4.6.2	
Number of representatives rendering services under supervision as contemplated in paragraph 3 of the Exemption of Services under Supervision in terms of Requirements and Conditions, 2008	4.7.1	
Number of key individuals and representatives that acted as supervisors in respect of services under supervision	4.7.1	

6.2 INSURANCE COVER	RELEVANT QUESTION NUMBER	CURRENCY	EXTENT OF COVER (NUMERIC AMOUNT)
Professional Indemnity Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	5.1		
Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	5.2		
Guarantees as contemplated in section 13 of the General Code of Conduct	5.3		

6.3 COMPLIANCE FUNCTION		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMERIC AMOUNT/INFORMATION
Number of reports issued to the FSP on the rendering of financial services	6.9	
Number of visits to the business premises, business units and / or branches of the FSP during the reporting period in order to perform monitoring procedures	6.10	
Number of visits to the business premises, business units and / or branches of the FSP's representatives during the reporting period in order to perform monitoring procedures	6.11	
Name of compliance officer appointed in terms of section 43(b) of FICA.	6.12	
Identity Number of compliance officer appointed in terms of section 43(b) of FICA.	6.12	

6.4 CONFLICT OF INTEREST		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NAME(S) OF PRODUCT SUPPLIER(S)
Name of the product supplier from which an immaterial interest exceeding an aggregate of R1 000 was received	8.1.5	

6.5 GENERAL CODE OF CONDUCT		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	PERCENTAGE
Provide the percentage (%) of new financial transactions done as a single needs analysis.	8.4.3.5	

6.6 ASSETS UNDER MANAGEMENT – DISCRETIONARY FSPs			
Total Market Value of assets under management at the reporting date for the following type of clients:	Local (Rand amount)	Foreign (Rand amount)	Total (Rand amount)
Private clients (individuals not listed below)			
Retirement funds			
Collective investment schemes			
Long-term insurers			
Short-term insurers			
Hedge fund clients			
Other (please specify)			

6.7 FOREX AUTHORISED FSPs		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMBER
Number of clients in respect of managed accounts at reporting date	13.4.2.11	

6.9 HEALTH SERVICES BENEFITS		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	DETAILS
Key individual accreditation number with the Council for Medical Schemes [BR number]	14.2.2	
FSP accreditation number with the Council for Medical Schemes (ORG number)	14.2.2	
Percentage of client base that is corporate clients	14.2.3	

COMPLIANCE REPORT SIGNED BY FSP

Name of FSP

FSP number

Name of key individual

ID number of key individual

Date appointed as key individual

Signature

Date

COMPLIANCE REPORT SIGNED BY COMPLAINEE OFFICER(S)

Name(s) of compliance officer(s) of FSP

ID number(s) of compliance officer(s)

Name(s) of the compliance practice(s) (if applicable)

Reference number(s) of compliance officer(s)/practice(s)

Signature(s) of compliance officer(s)

Date

Telephone number

Fax number

E-mail address

Please note that all unsigned reports will be regarded as "Not Submitted".

DECLARATIONSIGNED BY COMPLIANCE OFFICER(S)

Compliance report in terms of section 17(4) of the Act by compliance officer(s) for the reporting period _____
(insert date) until _____(insert reporting date).

I/we _____ (compliance officer(s)) hereby report as follows as regards compliance by
_____(insert full names of FSP and FSP number) and any
representative with the Act, for the reporting period _____

Having completed the attached annual compliance report for the FSP, I/we hereby confirm that, to the best of my/our knowledge and ability all the information contained in the attached annual compliance report is true and correct.

I/we are aware that the information contained in the attached annual compliance report may be subject to verification by the Registrar of Financial Services Providers, and should I/we knowingly submit false, incorrect or misleading information to the Registrar, this may impact on my/our compliance with the fit and proper requirements with regard to personal character qualities of honesty and integrity as determined by section 8(1) of the Act.

Signed on _____(day) _____ (month)_____ (year).

Name(s) of compliance officer(s): _____

Signature(s): _____