
BOARD NOTICE

NOTICE 27 OF 2014

FINANCIAL SERVICES BOARD

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 (ACT NO. 37 OF 2002)

NOTICE ON AMENDMENT OF EXEMPTIONS

I, Caroline Dey da Silva, Deputy Registrar of Financial Services Providers, hereby under paragraphs 3(a) and 4(a) respectively of-

- (a) the Exemption of Banks in respect of Certain clients, 2004;
- (b) the Exemption of Morgan Stanley and AMB Holdings in respect of Certain Clients, 2004;
- (c) the Exemption of UBS South Africa and Deutsche Securities in respect of Certain Clients, 2007;
- (d) the Exemption of First Africa and RMB Investments and Advisory in respect of Certain Clients, 2008;
- (e) the Exemption of Nomura International in respect of Certain Clients, 2009;
- (f) the Exemption of certain Merrill Lynch Entities in respect of Certain Clients, 2009;
- (g) the Exemption of Goldman Sachs International in respect of Certain Clients, 2009;
- (h) the Exemption of The Bank of New York Mellon in respect of Certain Clients, 2010;
- (i) the Exemption of Marlow Advisors in respect of Certain Clients, 2010;
- (j) the Exemption of African Alliance Securities in respect of Certain Clients, 2010;
- (k) the Exemption of Allianz Global Investors Advisory and Allianz Global Investors Europe in respect of Certain Clients, 2011;
- (l) the Exemption of Raymond James & Associates and Raymond James Financial International in respect of Certain Clients, 2011;
- (m) the Exemption of Renaissance BJM Securities in respect of Certain Clients, 2011;
- (n) the Exemption of Morgan Stanley Bank in respect of Certain Clients, 2011;
- (o) the Exemption of ICAP Broking Services South Africa in respect of Certain Clients, 2011;
- (p) the Exemption of Sanlam Capital Markets in respect of Certain Clients, 2011;
- (q) the Exemption of Credit Suisse Securities (Europe) Ltd in respect of Certain Clients, 2012;
- (r) the Exemption of Rothschild (South Africa) in respect of Certain Clients, 2012;
- (s) the Exemption of Morgan Stanley & Co. International Plc in respect of Certain Clients, 2011;
- (t) the Exemption of Newman Lowther & Associates in respect of Certain Clients, 2011; and
- (u) the Exemption of Advize Capital (Pty) Ltd in respect of Certain Clients, 2013,

amend paragraphs 2 and 3 respectively of the abovementioned Exemptions by the substitution for the date "1 March 2014" of the date "1 March 2015".

This Notice is called the Notice on Amendment of Exemptions, 2014, and comes into operation on 1 March 2014.



CD da Silva
Deputy Registrar of Financial Services Providers