

**NOTICE OF 2011**  
**FINANCIAL SERVICES BOARD**  
**FINANCIAL MARKETS ACT OF 2011**

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

Under section 70 of the Financial Markets Act, 2011 (Act No. of 2011) ("the Act"), I, Dube Phineas Tshidi, Registrar of Securities Services hereby prescribe in the Schedule the information that must be contained in the annual report of a self-regulatory organisation.

**D.P TSHIDI**  
**REGISTRAR OF SECURITIES SERVICES**

**SCHEDULE**

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

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, participants or clearing members of a 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 auditor's 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;
- (j) a report on risk mitigation, operational integrity, and related issues; and
- (k) a list of securities services that have been authorised and are regulated by the exchange, central securities depository or independent clearing house in respect of authorised users, participants or clearing members..

## **2. Commencement**

This Notice comes into operation on the date on which the Act comes into operation.