

MARKET NOTICE

Number: 645A/2015

Relates to:

- Equity Market
- Equity Derivatives
- Commodity Derivatives
- Interest Rate and Currency Derivatives

Date: 27 October 2015

SUBJECT: FINE IMPOSED BY THE ENFORCEMENT COMMITTEE OF THE FSB FOR CONTRAVENTION OF THE FINANCIAL INTELLIGENCE CENTRE ACT, 38 OF 2001

Name and Surname: Shaun Davies

Designation: Director - Market Regulation

The attention of members is drawn to the order of the Enforcement Committee of the Financial Services Board against a JSE member firm, Thebe Stockbroking (Pty) Limited, relating to contraventions of sections 21(1)(a) and 21(2)(a) of the Financial Intelligence Centre Act, 38 of 2001.

We attach hereto the following documents:

- The order of the Enforcement Committee dated 20 October 2015; and
- The media release issued by the FSB on 22 October 2015.

Should you have any queries regarding this notice, please contact Paul Hartzberg on (011) 520 7584 or at paulh@jse.co.za

This Market Notice will be available on the website at <https://www.jse.co.za/redirects/market-notice-and-circulars>