**FORM D4**

Sponsor application form

|  |
| --- |
|  1. Name of applicant |
|   |
|  2. Trading name (if different) |
|   |
|   |
|  Tel: Fax:  |
|  Website/ e-mail:  |
|  Address: |
|   |
|   |
|   |
|  3. Nature of entity (private company, public company, unlimited company, partnership, sole trader) |
|   |
|   |
|   |
|   |
|  4. Name of contact person and contact details |
|   |
|   |
|   |
|  5. Is the applicant a member of any self regulating organisation or recognised professional body (specify)? |
|   |
|   |
|   |
|   |
|   |
|  6. Which corporate financial services does the applicant intend offering? |
|   |
|   |
|   |
|   |
|   |
|  7. Provide full details relating to schedule 16.5 of all executive staff (provide a suitably detailed table). |
|   |
|   |
|   |
|   |
|   |
|  8. Names and other details of executive staff that will be involved in sponsor activities |
|   |
|   |
|   |
|   |
|   |
|   |
|  9. What procedures and controls are in place to ensure that personnel do not act outside their authority? |
|   |
|   |
|   |
|   |
|  10. Please state any other information that you may think is relevant to your application |
|   |
|   |
|   |
|   |
|  11. With respect to your approved executives, have any of them ever been: |
|  (a) Convicted of an offence resulting from dishonesty, fraud or embezzlement? If yes, provide details |
|   |
|   |
|  (b) Censured or fined by a self-regulatory organisation, or recognised professional body? If yes, provide details |
|   |
|   |
|  (c) Barred from entry into any profession or occupation? |
|   |
|   |
|  (d) Convicted in any jurisdiction of any criminal offence, or an offence under legislation relating to the Companies Act, or was a director or alternate director or officer of a company at the time such company was convicted of any similar offence? All such convictions must be disclosed even though they may now be “spent convictions” |
|   |
|   |
|  12. Applicant’s undertaking to the JSE Limited |
|  We hereby apply for approval as a sponsor as defined in the Listings Requirements of the JSE Limited. Should such application be successful we undertake to: |
|  (a) be bound by and discharge our responsibilities as a sponsor under the Listings Requirements as amended from time to time; |
|  (b) advise the JSE, in writing, without delay, of our resignation or dismissal from a sponsor appointment, giving details of any relevant facts or circumstances; |
|  (c) provide a description of any interest held by the sponsor, the sponsor’s group, and any partner or director of that firm in the issuer or its subsidiaries, or by the issuer in the sponsor; |
|  (d) acknowledge that the JSE may censure us if the JSE considers that we are in breach of our responsibilities, and that the JSE may publicise the fact that it has done so; and |
|  (e) apply the spirit of the Listings Requirements and uphold the integrity of the JSE. |
|  We declare that the information supplied is complete and correct, and we agree to comply with the additional notification requirements. |
|  We have read the eligibility criteria for a sponsor and believe that this application conforms to the criteria (except as specifically notified to you with this application). |
|  |
|   |
| Signature |
|   |
| Name of signatory |
|   |
| Position |
|   |
| Date |
|   |
| Signature |
|   |
| Name of signatory |
|   |
| Position |
|   |
| Date |
|   |
| Sponsor |
|  |
|  (initials and surname of approved executive) |
|  |