

Directive of Strate (Pty) Ltd

Special Gazette No. S6-2022
Strate Directive SA.8

File Layout for Beneficial Ownership Register -
Equities, Bonds and Participatory Interests



strate

To provide for the procedures and file layouts for the disclosure of beneficial interests on the beneficial ownership register

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1. Interpretation and Definitions

This Strate Directive should be read in conjunction with Strate Directive SZ.1 - *Interpretation and Definitions*.

1.1 The following definitions are specific to this Strate Directive:

'C' means conditional, indicating that the particular information must be provided to Strate for certain account types, or where a related field has been completed;

'M' means mandatory, indicating that the particular information must be provided to Strate; and

'O' means optional, indicating that the particular information may be provided to Strate.

1.2 In order to ensure that Nominees are capable of providing the Beneficial Ownership Register (BOR) to Strate when required to do so, Strate Directive SA.7 – *Requirements for Nominees to Operate in the Strate Environment* sets out the standards that a Nominee must comply with.

1.3 Procedures

1.3.1 The BOR for every ISIN is scheduled to be produced weekly with the last Business Day of the week being the Holdings Date.

1.3.2 An on-demand BOR may be requested by an Issuer or Issuer Agent for any date in the future on 24 (twenty-four) hours' notice to Strate. Strate charges an additional administration fee for on-demand BORs. In addition, each entity that produces a file for an on-demand BOR is entitled to charge a fee per line of information that is provided. Both Strate's fee and the Nominee's fee are set out in the applicable fee schedule.

1.3.3 Strate will:

1.3.3.1 advise the Participants, Nominees and where applicable, the relevant Exchange in respect of the Authorised Users, of the Holdings Date for the BOR; and

1.3.3.2 request the Participants, Nominees and where applicable, the relevant Exchange in respect of the Authorised Users, to provide Strate with the BOR as at the Holdings Date.

1.3.4 A Participant, Authorised User and Nominee must produce its BOR files during or after the processing of its EOD run on Holdings Date.

- 1.3.5 A Participant must ensure that its aggregate holdings per ISIN balance to the holdings in its CSA in the records of Strate.
- 1.3.6 A Nominee must ensure that its aggregate holdings per ISIN balance to the holdings in its Securities Accounts.
- 1.3.7 For scheduled and on-demand reports, a Participant, Authorised User and Nominee must send the BOR files to Strate via Secure FTP or other Secure mechanism by 11H00 on the Business Day following the Holdings Date (HD+1).
- 1.3.8 Once it has received all the files, Strate validates and collates the data.
- 1.3.9 Where data fails validation, Strate produces a validation failure report.
- 1.3.10 Strate sends the validation failure report to the relevant party indicating that the input file has failed validation. The validation failure report identifies the rows in which the errors occurs. A reconciliation report highlighting the difference per ISIN between a Participant and Strate, or between a Nominee or Authorised User and its Participant, is also produced where applicable.
- 1.3.11 Corrected BOR files must be sent to Strate via a Secure FTP or other Secure mechanism within 1 (one) hour of receipt of a validation failure report advising of the errors, unless otherwise agreed to by Strate.
- 1.3.12 The validation process is repeated until such time as there are no validation errors and an acceptable level of reconciliation has been achieved.
- 1.3.13 Subject to there being no validation or reconciliation errors, Strate produces the final scheduled BOR for distribution as soon as it is available. An on-demand BOR is distributed on HD+1.
- 1.3.14 Strate provides the final BOR to the Issuer or Issuer Agent via Secure FTP or other Secure mechanism.
- 1.3.15 Where a CSA or SDA is maintained for a Beneficial Owner (account type 6), a Participant may elect not to send a BOR for that CSA or SDA.

2. Input File Layout

The file layouts must be used in all instances, including those where a Participant and/or Authorised User has a Client who has been approved as a Nominee in terms of Sections 76(1)(b) and 76(3) of the Act and Strate Directive SA.7 – *Requirements for Nominees to Operate in the Strate Environment*. Participants may use either Participant Layout A or B.

2.1 PARTICIPANT LAYOUT A (SINGLE FILE PER CSA)

| Srl No | Name | M/O/C | Field descriptions |
|--------|------|-------|--------------------|
|--------|------|-------|--------------------|

Mandatory Sequence A File Information

| | | | |
|----|-----------------------|---|--|
| 1 | Record Type Indicator | M | 1n Value: 1 |
| 2 | File Name | M | 23x |
| 3 | File Sender ID | M | 8x The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities and Units as applicable |
| 4 | Sender Name | M | 35x |
| 5 | Sender Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 6 | Sender Postal Code | M | 4!x9x Postal code standards to be used NB. leading zeroes to be used where necessary, i.e. 0001 Field is left justified |
| 7 | Sender Email Address | M | 70x |
| 8 | Contact Person | M | 35a |
| 9 | Contact Phone | M | 24x |
| 10 | Holdings Date | M | 8n (YYYYMMDD) |

| | | | |
|----|---------------------------------------|---|--|
| 11 | Central Securities Account | M | 8n The 8 digit Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities and Units as applicable |
| 12 | Preparation Date | M | 8n (YYYYMMDD) |
| 13 | Newline character | M | Newline Character only |
| | Total number of characters sequence A | | 373 |

End of Sequence A File Information

Mandatory Repetitive Sequence B1 Client details

| | | | |
|----|---|---|--|
| 14 | Record Type Indicator | M | 1n Value: 2 |
| 15 | Account type | M | 1n Values: 1 – Own Name Account 2 – Participant Nominee Account 3 – Beneficiary Account 4 – Authorised User Nominee Account 5 – FSCA Approved/Strate Recognised Nominee Account 6 – SDA 7 – SDA: Participant Nominee Account 8 – SDA: Authorised User Nominee Account 9 – SDA: FSCA Approved/Strate Recognised Nominee Account |
| 16 | Authorised User BIC Code or FSCA Approved/Strate Recognised Nominee BIC code if available, or unique number as agreed with the Authorised User or FSCA Approved/Strate Recognised Nominee | C | 11x (Mandatory when Account type is 4, 5, 8 or 9, not present for other Account types) |

| | | | |
|----|----------------------------|---|---|
| 17 | Registered Account number | M | 16x |
| 18 | Beneficiary Account number | C | 16x (Mandatory when Account type is 3, not present for other Account types) |
| 19 | Client Name | M | 2*35x |
| 20 | Title | C | 10x Mandatory, if it is a natural person |
| 21 | Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 22 | Postal Code | M | 4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary, i.e. 0001. |
| 23 | Email address | C | 70x (If Annual Report Indicator is 03 then this field is Mandatory) |
| 24 | Contact Phone | O | 24x |
| 26 | Country Code | C | 2a (mandatory when Account type is 1, 3 or 6, but not mandatory for other Account types) |
| 27 | Classification Code | C | 4x (mandatory when Account type is 1, 3 or 6, but not mandatory for other Account types) |
| 28 | Consolidated Account Owner | O | 2*35x The name of the Asset / Investment / Fund Manager |

| | | | |
|----|---------------------------------------|---|---|
| 29 | Language Indicator | O | 2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (only 01 or 02 to be populated at this stage) |
| 30 | Client Category | O | 4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts |
| 31 | Client Identifier 1 | O | 30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009 |
| 32 | Client Identifier 2 | O | 30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008. For Category 0004, 0007 & 0009, this field must be filled with spaces |
| 33 | Newline character | M | Newline Character only |
| | Total number of characters sequence B | | 514 |

End of Sequence B Client Details

Mandatory Repetitive Sequence B1 Holdings Details

| | | | |
|----|------------------------------|---|----------------|
| 34 | Record Type Indicator | M | 1n Value: 3 |
| 35 | Identification of Securities | M | 12x |

| | | | |
|----|----------|---|---|
| 36 | Holdings | M | <p>s15!d</p> <p>12 integers followed by 3 decimal places with an implied comma.</p> <p>This field represents the holdings:</p> <p>S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign { carried at the end of the field indicates the holdings is positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :-</p> <p>00000000089300}</p> <p>893 (Positive) holdings would be reflected as:-</p> <p>00000000089300{</p> <p>Or as:- 000000000893000</p> |
|----|----------|---|---|

| | | | |
|----|--|---|--|
| 37 | Report Indicator | M | 2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) |
| 38 | Newline Character | M | Newline Character only |
| | Total number of characters sequence B1 | | 30 |

End of sequence B1 Holdings Details

Mandatory Repetitive Sequence C Account Reconciliation Details

| | | | |
|----|--|---|------------------------|
| 39 | Record Type Indicator | M | 1n Value: 4 |
| 40 | Registered Account number | M | 16x |
| 41 | Beneficiary Account number | O | 16x |
| 42 | Total number of ISINs for Registered Account and Beneficiary Account combination | M | 6n |
| 43 | Newline Character | M | Newline Character only |
| | Total number of characters sequence C | | 39 |

End of C Reconciliation Details

Mandatory Sequence D File Reconciliation Details

| | | | |
|----|-----------------------|---|-------------------|
| 44 | Record Type Indicator | M | 1n Value: 5 |
| 45 | File Name | M | 23x |

| | | | |
|----|---|---|----|
| 46 | Total number of Registered Account and Beneficiary Account combination for the Central Securities Account | M | 6n |
| | Total number of characters sequence D | | 30 |

End of Sequence D File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

| Subfield | M/O/C | Field descriptions |
|----------------------------|-------|--|
| Indicator | M | 1. 1a 2. Value: 3. C |
| Holdings Date | M | 4. 8n |
| Central Securities Account | M | 8n The 8 character Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable |
| Serial number | M | 2!n Values: 01-02 01-Full disclosure 02-Incremental disclosure |

CARE: Institutions creating files directly from a mainframe application use the Mainframe Layout and those institutions creating the file from an open system use the Open System Layout. The mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character.

The file must be sent to Strate in text file format and must be named as follows:

MAINFRAME LAYOUT

P.EYYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (on-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V3. refers to the version of the file;
- ZXXXXXXXX. refers to the Participant's CSA number, e.g. 20001791 is reflected as Z0001791, the Z supplanting the first digit of the CSA number;
- YYYYYYYY. refers to the to the Participant's BPID number, e.g. ZA100043;
- XXXXXXXX.ZXXXX. must be inserted when providing an on-demand disclosure and represents the ISIN number being disclosed. The first 8 characters are followed by a dot and the last 4 characters must be preceded by a Z. In other words, ZAE000463458 is reflected as ZAE00046.Z3458 and GB0000566504 is reflected as GB000056.Z6504.

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

OPEN SYSTEMS LAYOUT

P.EYYMMDD.V3.XXXXXXXXX.YYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.XXXXXXXXX.YYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V3.XXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.XXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of bonds)

- P. is standard for all files;

- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V3. refers to the version of the file;
- XXXXXXXX. refers to the Participant's CSA number e.g. 20001791;
- YYYYYYYY. refers to the Participant's BPID number e.g. ZA100043;
- ZZZZZZZZZZZZ. is the ISIN number for an on-demand report.

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)

This is the BPID at Strate.

3. Central Securities Account (Srl No 11)

Where a CSA or SDA is maintained for a Beneficial Owner, a Participant may elect not to send a BOR for that CSA or SDA.

4. Registered Account Number (Srl No 17)

This is the account number of the Client in the books of the Participant.

5. Beneficiary Account Number (Srl No 18)

This is the Client account under the registered account in the books of the Participant or Authorised User.

6. Client Name (Srl No 19)

Notwithstanding the manner in which the account is recorded in the records of the Participant or Authorised User, the Client's name in the BOR must indicate the identity of the Beneficiary or, where this is not known by the Participant, the identity of the holder closest to the Beneficiary that the Participant does know. In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following naming standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BOR format is 2*35x and the first names are to follow directly after the comma. In other words, the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” must be recorded by inserting a comma after the first names followed by the account designation.
- Trust accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. The recording of trusts is therefore as follows – AB Family Trust. To facilitate sorting of securities holders by name “The” is not recorded. In other words, The AB Family Trust must be recorded as AB Family Trust.
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

7. Title (Srl No.20)

The following titles may be used:-

Title Codes

| Title Code | Description |
|------------|-------------------------|
| ADMIN | Administrator |
| ADML | Admiral |
| ADV | Advocate |
| AJ | Appeal Judge |
| BARON | Baron |
| BARONESS | Baroness |
| BRIG | Brigadier |
| BWYLE | Boedel Wyle (Afrikaans) |
| CAPT | Captain |
| CHIEF | Chief |
| COL | Colonel |
| COMM | Commander |
| COUNT | Count |
| COUNTESS | Countess |
| DAME | Dame |
| DR | Doctor |

| | |
|----------------------|---|
| DS | Dominee (Afrikaans) |
| DUCHESS | Duchess |
| DUKE | Duke |
| EKS | Eksekuteur (Afrikaans) |
| EST LATE | Estate Late |
| ESTATE OF/THE ESTATE | Estate of/The Estate |
| EX | Executor |
| FATHER | Father |
| GEN | General |
| GENMAJ | General Major/Generaal Majoor (Afrikaans) |
| HON | Honourable |
| HRH | His or Her Royal Highness |
| INSP | Inspector/Inspekteur (Afrikaans) |
| JUDGE | Judge |
| JUSTICE | Justice |
| KAPT | Kaptein (Afrikaans) |
| KOL | Kolonel (Afrikaans) |
| KMDT | Kommandant (Afrikaans) |
| KONST | Konstabel (Afrikaans) |
| LADY | Lady |
| LT | Lieutenant |
| MADAM | Madam |
| MAJ | Major |
| MASTER | Master |
| ME | Mejuffrou/Mevrou (Afrikaans) |
| MEJ | Mejuffrou (Afrikaans) |
| MESSRS | Messieurs (male plural) |
| MEV | Mevrou (Afrikaans) |
| MRS | Mistress (female married singular) |
| MISS | Miss |
| MNR | Meneer (Afrikaans) |
| MR | Mister |
| MS | Miss |
| PASTOR/PSTR | Pastor |
| PASTOOR/PSTR | Pastoor (Afrikaans) |
| PRINCE | Prince |
| PRINCESS | Princess |
| PROF | Professor |
| RABBI | Rabbi |
| REGTER | Regter (Afrikaans) |
| REV | Reverend |
| SER | Sersant (Afrikaans) |
| SGT | Sergeant |
| SIR | Sir |
| SISTER | Sister |

8. Address (Srl No 21 & 22)

A valid address conforming to accepted postal standards, including a postal code, must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000.

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field, or an incomplete address, is not permitted.

9. E-mail Address (Srl No 23) – Also see the description for Srl No 37

If the Beneficiary requires communication by e-mail this field is mandatory. In other words, the field is populated with the e-mail address of the Beneficiary if the mail option selected is 03.

NB. In terms of the Companies Act, 2008, an Issuer has the responsibility to give notices to, and/or to communicate with, its securities holders, and the securities holders have the right to receive notices from the Issuer.

10. Consolidated Account Owner (Srl No 28)

If the assets of the Beneficiary are being administered by an asset, investment or fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

11. Language Indicator (Srl No 29)

This field reflects the chosen language of the Beneficiary and is optional. At this stage only the following codes are available:

01 – English

02 – Afrikaans

The default code is 01 English.

12. Client Category (Srl No 30)

This is an optional field which reflects the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

13. Client Identifier (Srl No 31 and 32)

These fields cater for the identification number of the Client, for example the identification number, company registration number, etc. The fields are optional and

are only populated if the information is carried by the Participant and Authorised User. The way in which the numbers are recorded is described in the file layout above.

14. Holdings (Srl No 36)

This is the quantity of Securities held.

15. Report Indicator (Srl No 37)

This field determines whether or not the Beneficiary requires annual reports or other Issuer communications to be sent directly to the Beneficiary by the Issuer. It also defines the method of communication i.e. postal service or e-mail.

2.2 PARTICIPANT LAYOUT B (MULTIPLE CSAS PER FILE)

| Srl No | Name | M/O/C | Field descriptions |
|--------|------|-------|--------------------|
|--------|------|-------|--------------------|

Mandatory Sequence A File Information

| | | | |
|----|---------------------------------------|---|---|
| 1 | Record Type Indicator | M | 1n Value: 1 |
| 2 | File Name | M | 23x |
| 3 | File Sender ID | M | 8x The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable |
| 4 | Sender Name | M | 35x |
| 5 | Sender Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 6 | Sender Postal Code | M | 4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified |
| 7 | Sender E-mail Address | M | 70x |
| 8 | Contact Person | M | 35a |
| 9 | Contact Phone | M | 24x |
| 10 | Holdings Date | M | 8n (YYYYMMDD) |
| 11 | Preparation Date | M | 8n (YYYYMMDD) |
| 12 | Newline character | M | Newline Character only |
| | Total number of characters sequence A | | 367 |

End of Sequence A File Information

Mandatory Repetitive Sequence B Central Securities Account Details

| | | | |
|----|-----------------------|---|-------------------|
| 13 | Record Type Indicator | M | 1n Value: 2 |
|----|-----------------------|---|-------------------|

| | | | |
|----|---------------------------------------|---|--|
| 14 | Central Securities Account | M | 8n The 8 digit Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 15 | Central Securities Account Name | M | 35X |
| 16 | Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 17 | Newline character | M | Newline Character only |
| | Total number of characters sequence B | | 184 |

End of Sequence B File Information

Mandatory Repetitive Sequence C Client Details

| | | | |
|----|--|---|--|
| 18 | Record Type Indicator | M | 1n Value: 3 |
| 19 | Account type | M | 1n Values: 1 – Own Name Account 2 – Participant Nominee Account 3 – Beneficiary Account 4 – Authorised User Nominee Account 5 – FSCA Approved/Strate Recognised Nominee Account 6 – SDA 7 – SDA: Participant Nominee Account 8 – SDA: Authorised User Nominee Account 9 – SDA: FSCA Approved/Strate Recognised Nominee Account |
| 20 | Authorised User BIC Code or FSCA/Strate approved Nominee BIC code if available, or unique number as agreed with the Authorised User or FSCA Approved/Strate Recognised Nominee | C | 11x (Mandatory when Account type is 4, 5, 8 or 9, not present for other Account types) |
| 21 | Registered Account number | M | 16x |
| 22 | Beneficiary Account number | C | 16x (Mandatory when Account type is 3, not present for other Account types) |

| | | | |
|----|----------------------------|---|--|
| 23 | Client Name | M | 2*35x |
| 24 | Title | C | 10x Mandatory, if it is a natural person |
| 25 | Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 26 | Postal Code | M | 4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001. Field is left justified |
| 27 | Email address | C | 70x (If Annual Report Indicator is 03 then this field is Mandatory) |
| 28 | Contact Phone | O | 24x |
| 29 | Country Code | C | 2a (mandatory when Account type is 1, 3 or 6 not mandatory for other Account types) |
| 30 | Classification Code | C | 4x (mandatory when Account type is 1, 3 or 6 not mandatory for other Account types) |
| 31 | Consolidated Account Owner | O | 2*35x The name of the Asset/Investment/Fund Manager |
| 32 | Language Indicator | O | 2n Values: 01 – 11 01 – English 02 – Afrikaans Default is 01 (only 01 or 02 to be populated at this stage) |
| 33 | Client Category | O | 4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts |

| | | | |
|----|---------------------------------------|---|---|
| 34 | Client Identifier 1 | O | 30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009 |
| 35 | Client Identifier 2 | O | 30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 & 0008. For Category 0004, 0007 & 0009, this field must be filled with spaces |
| 36 | Newline character | M | Newline Character only |
| | Total number of characters sequence B | | 514 |

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

| | | | |
|----|------------------------------|---|----------------|
| 37 | Record Type Indicator | M | 1n Value: 4 |
| 38 | Identification of Securities | M | 12x |

| | | | |
|----|----------|---|---|
| 39 | Holdings | M | <p>s15!d</p> <p>12 integers followed by 3 decimal places with an implied comma.</p> <p>This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign { carried at the end of the field indicates the holdings is positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) holdings would be reflected as:- 0000000089300{</p> <p>Or as:- 00000000893000</p> |
|----|----------|---|---|

| | | | |
|----|--|---|--|
| 40 | Report Indicator | | 2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) |
| 41 | Newline Character | M | Newline Character only |
| | Total number of characters sequence B1 | | 30 |

End of sequence C1 Holdings Details

Mandatory Repetitive Sequence D Account Reconciliation Details

| | | | |
|----|--|---|------------------------|
| 42 | Record Type Indicator | M | 1n Value: 5 |
| 43 | Registered Account number | M | 16x |
| 44 | Beneficiary Account number | O | 16x |
| 45 | Total number of ISINs for Registered Account and Beneficiary Account combination | M | 6n |
| 46 | Newline Character | M | Newline Character only |
| | Total number of characters sequence C | | 39 |

End of D Reconciliation Details

Mandatory Repetitive Sequence E Central Securities Account Reconciliation Details

| | | | |
|----|-----------------------|---|-------------------|
| 47 | Record Type Indicator | M | 1n Value: 6 |
|----|-----------------------|---|-------------------|

| | | | |
|----|---|---|----|
| 48 | Central Securities Account Number | M | 8n |
| 49 | Total number of Registered Account and Beneficiary Account combination for the Central Securities Account | M | 6n |
| | Total number of characters sequence D | | 15 |

End of Sequence E File Reconciliation Details

Mandatory Sequence F File Reconciliation Details

| | | | |
|----|--|---|-------------------|
| 50 | Record Type Indicator | M | 1n Value: 7 |
| 51 | File Name | M | 23x |
| 52 | Total number Central Securities Accounts in file | M | 6n |
| | Total number of characters sequence D | | 30 |

End of Sequence F File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

| Subfield | M/O/C | Field descriptions |
|---------------|-------|---|
| Indicator | M | 1a Value: C |
| Holdings Date | M | 8n |
| BPID | M | 8n The 8 character BPID of the Participant in the Strate System used for Settlement of equity and bond Securities as applicable. |
| Serial number | M | 2!n Values: 01-02 01-Full disclosure 02-Incremental disclosure |

CARE: Institutions creating files directly from a mainframe application use the Mainframe Layout and those institutions creating the file from an open system use the Open System Layout. The mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character.

The file must be sent to Strate in text file format and must be named as follows:

MAINFRAME LAYOUT

P.EYYMMDD.V4.ZXXXXXXXX.YYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V4.ZXXXXXXXX.YYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V4.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (On-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V4.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (On-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V4. refers to the version of the file;
- YYYYYYYY. refers to the to the Participant's BPID number, e.g. ZA100043;
- XXXXXXXX.ZXXXX. must be inserted when providing an on-demand disclosure and represents the ISIN number being disclosed. The first 8 characters are followed by a dot and the last 4 characters must be preceded by a Z. In other words, ZAE000463458 is reflected as ZAE00046.Z3458 and GB0000566504 is reflected as GB000056.Z6504

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

OPEN SYSTEMS LAYOUT

P.EYYMMDD.V4.XXXXXXXXXX.YYYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V4.XXXXXXXXXX.YYYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V4.XXXXXXXXXX.YYYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V4.XXXXXXXXXX.YYYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V4. refers to the version of the file;
- YYYYYYYYY. refers to the Participant's BPID number, e.g. ZA100043;
- ZZZZZZZZZZZZ. is the ISIN number for an on-demand report

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)

This is the BPID at Strate.

3. Central Securities Account (Srl No 14)

Where a CSA or SDA is maintained for a Beneficial Owner, a Participant may elect not to send a BOR for that CSA or SDA.

4. Registered Account Number (Srl No 21)

This is the account number of the Client in the books of the Participant.

5. Beneficiary Account Number (Srl No 22)

This is the Client account under the registered account in the books of the Participant or Authorised User.

6. Client Name (Srl No 23)

Notwithstanding the manner in which the account is recorded in the records of the Participant or Authorised User, the Client's name in the BOR must indicate the identity of the Beneficiary. In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients, are applicable.*

Naming Standards

The following naming standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BOR format is 2*35x and the first names are to follow directly after the comma. In other words, the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” must be recorded by inserting a comma after the first names followed by the account designation.
- Trust accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. The recording of trusts is therefore as follows – AB Family Trust. To facilitate sorting of securities holders by name “The” is not recorded. In other words, The AB Family Trust must be recorded as AB Family Trust.
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

7. Title (Srl No.20)

The following titles may be used:-

Title Codes

| Title Code | Description |
|------------|---------------|
| ADMIN | Administrator |

| | |
|----------------------|---|
| ADML | Admiral |
| ADV | Advocate |
| AJ | Appeal Judge |
| BARON | Baron |
| BARONESS | Baroness |
| BRIG | Brigadier |
| BWYLE | Boedel Wyle (Afrikaans) |
| CAPT | Captain |
| CHIEF | Chief |
| COL | Colonel |
| COMM | Commander |
| COUNT | Count |
| COUNTESS | Countess |
| DAME | Dame |
| DR | Doctor |
| DS | Dominee (Afrikaans) |
| DUCHESS | Duchess |
| DUKE | Duke |
| EKS | Eksekuteur (Afrikaans) |
| EST LATE | Estate Late |
| ESTATE OF/THE ESTATE | Estate of/The Estate |
| EX | Executor |
| FATHER | Father |
| GEN | General |
| GENMAJ | General Major/Generaal Majoor (Afrikaans) |
| HON | Honourable |
| HRH | His or Her Royal Highness |
| INSP | Inspector/Inspekteur (Afrikaans) |
| JUDGE | Judge |
| JUSTICE | Justice |
| KAPT | Kaptein (Afrikaans) |
| KOL | Kolonel (Afrikaans) |
| KMDT | Kommandant (Afrikaans) |
| KONST | Konstabel (Afrikaans) |
| LADY | Lady |
| LT | Lieutenant |
| MADAM | Madam |
| MAJ | Major |
| MASTER | Master |
| ME | Mejuffrou/Mevrou (Afrikaans) |
| MEJ | Mejuffrou (Afrikaans) |
| MESSRS | Messieurs (male plural) |
| MEV | Mevrou (Afrikaans) |
| MRS | Mistress (female married singular) |
| MISS | Miss |
| MNR | Meneer (Afrikaans) |
| MR | Mister |
| MS | Miss |
| PASTOR/PSTR | Pastor |
| PASTOOR/PSTR | Pastoor (Afrikaans) |
| PRINCE | Prince |
| PRINCESS | Princess |

| | |
|--------|---------------------|
| PROF | Professor |
| RABBI | Rabbi |
| REGTER | Regter (Afrikaans) |
| REV | Reverend |
| SER | Sersant (Afrikaans) |
| SGT | Sergeant |
| SIR | Sir |
| SISTER | Sister |

8. Address (Srl No 25 & 26)

A valid address conforming to accepted postal standards, including a postal code, must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000.

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field, or an incomplete address, is not permitted.

9. E-mail Address (Srl No 27)

Also see the description for Srl No 40 – If the Beneficiary requires communication by e-mail this field is mandatory. In other words, the field is populated with the e-mail address of the Beneficiary if the mail option selected is 03.

NB. In terms of the Companies Act, 2008, an Issuers has the responsibility to give notices to, and/or to communicate with, its securities holders, and the securities holders have the right to receive notices from the Issuer.

10. Consolidated Account Owner (Srl No 31)

If the assets of the Beneficiary are being administered by an asset, investment or fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

11. Language Indicator (Srl No 32)

This field reflects the chosen language of the Beneficiary and is optional. At this stage only the following codes are available:

01 – English

02 – Afrikaans

The default code is 01 English.

12. Client Category (Srl No 33)

This is an optional field which reflects the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

13. Client Identifier (Srl No 34 and 35)

These fields cater for the identification number of the Client, for example the identification number, company registration number, etc. The fields are optional and are only populated if the information is carried by the Participant and Authorised User. The way in which the numbers are recorded is described in the file layout above.

14. Holdings (Srl No 39)

This is the quantity of Securities held.

15. Report Indicator (Srl No 40)

This field determines whether or not the Beneficiary requires annual reports or other Issuer communications to be sent directly to the Beneficiary by the Issuer. It also defines the method of communication i.e. postal service or e- mail.

2.3 EXCHANGE LAYOUT

| Srl No | Name | M/O/C | Field descriptions |
|--------|------|-------|--------------------|
|--------|------|-------|--------------------|

Mandatory Sequence A File Information

| | | | |
|----|---------------------------------------|---|------------------------|
| 1. | Record Type Indicator | M | 1n Value: 1 |
| 2. | File Name | M | 23x |
| 3. | File Sender ID | M | 8x |
| 4. | BPID | M | 8x |
| 5. | Holdings Date | M | 8n (YYYYMMDD) |
| 6. | Authorised User BIC Code | M | 11x |
| 7. | Preparation Date | M | 8n (YYYYMMDD) |
| 8. | Newline character | M | Newline Character only |
| | Total number of characters sequence A | | 67 |

End of Sequence A File Information

Mandatory Sequence B Account Information

| | | | |
|-----|---------------------------------------|---|--|
| 9. | Record Type Indicator | M | 1n Value: 2 |
| 10. | Central Securities Account | M | 8n The 8 digit Central Securities Account of the Participant in the Strate System |
| 11. | Registered Account Number | M | 16x |
| 12. | Newline character | M | Newline Character only |
| | Total number of characters sequence B | | 25 |

End of Sequence B Account Information

Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number

| | | | |
|-----|--|---|--|
| 13. | Record Type Indicator | M | 1n Value: 3 |
| 14. | Account Type | M | 2n Values: 03 – Beneficiary Account 10 – FSCA Approved/Strate Recognised Nominee [Holding]holding a Securities Account under an Authorised User Nominee |
| 15. | Authorised User BIC Code if available or unique number as agreed with the Authorised User Nominee or a FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee | C | 11x Mandatory when Account type is 10. Not present for other Account types |
| 16. | Registered Account number | M | 16x Registered Account number of a FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee in the books of the Authorised User for Account type 10 Same as Registered Account number in Sequence B for Account Type 03 |
| 17. | Beneficiary Account number | C | 16x Mandatory when Account type is 03 |
| 18. | Client Name | M | 2*35x |
| 19. | Title | C | 10x Mandatory, if it is a natural person |
| 20 | Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 21. | Postal Code | M | 4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary, i.e. 0001 Field is left justified |
| 22. | Email address | C | 70x (If Annual Report Indicator is 03 then this field is Mandatory) |
| 23. | Contact Phone | O | 24x |

| | | | |
|-----|----------------------------|---|---|
| 24. | Country Code | M | 2a |
| 25. | Classification Code | O | 4x |
| 26. | Consolidated Account Owner | O | 2*35x The name of the Asset/Investment/Fund Manager |
| 27. | Language Indicator | O | 2n Values: 01 – 11 01 – English 02 - Afrikaans Default is 01 (01 and 02 to be populated at this stage) |
| 28. | Client Category | O | 4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts |
| 29. | Client Identifier 1 | O | 30x Valid Values: |
| | | | 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002, and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009 |
| 30. | Client Identifier 2 | O | 30x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces |

| | | | |
|-----|---------------------------------------|---|------------------------|
| 31. | Newline Character | M | Newline Character only |
| | Total number of characters sequence C | | 515 |

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

| | | | |
|-----|------------------------------|---|-------------------|
| 32. | Record Type Indicator | M | 1n Value: 4 |
| 33. | Identification of Securities | M | 12x |

| | | | |
|-----|----------|---|--|
| 34. | Holdings | M | <p>s15!d</p> <p>12 integers followed by 3 decimal places with an implied comma.</p> <p>This field represents the holdings:</p> <p>S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign { carried at the end of the field indicates the holdings is positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :-</p> <p>0000000089300}</p> <p>893 (Positive) holdings would be reflected as:-</p> <p>0000000089300{</p> <p>Or as:- 00000000893000</p> |
|-----|----------|---|--|

| | | | |
|-----|--|---|--|
| 35. | Report Indicator | O | 2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default) |
| 36. | Newline character | M | Newline Character only |
| | Total number of characters sequence C1 | | 30 |

End of Sequence C1 Holdings Details

Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation

| | | | |
|-----|--|---|--|
| 37. | Record Type Indicator | M | 1n Value: 5 |
| 38. | Registered Account number | M | 16x Same as Registered Account number in Sequence C |
| 39. | Beneficiary Account number | C | 16x Mandatory when Account type is 03 |
| 40. | Total number of ISINs for the Registered Account and Beneficiary Account | M | 6n |
| 41. | Newline character | M | Newline Character only |
| | Total number of characters sequence C2 | | 39 |

End of Sequence C2 Beneficiary Account Number Reconciliation

Mandatory Sequence D Account Number Reconciliation

| | | | |
|-----|---|---|--|
| 42. | Record Type Indicator | M | 1n Value: 6 |
| 43. | Central Securities Account | M | 8n The 8 character Central Securities Account of the Participant in the Strate System |
| 44. | Registered Account number | M | 16x |
| 45. | Total number of Beneficiary Accounts and FSCA Approved/Strate Recognised Nominees holding a Securities Accounts under an Authorised User Nominee for the Registered Account | M | 6n |
| 46. | Newline character | M | Newline Character only |
| | Total number of characters sequence D | | 31 |

End of Sequence D Account Number Reconciliation

Mandatory Sequence E File Reconciliation Details

| | | | |
|-----|---|---|-------------------|
| 47. | Record Type Indicator | M | 1n Value: 7 |
| 48. | File Name | M | 23x |
| 49. | Total number of Registered Accounts for the Authorised User | M | 6n |
| | Total number of characters sequence E | | 30 |

End of Sequence E File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

| Subfield | M/O/C | Field descriptions |
|--------------------------|-------|--------------------|
| Indicator | M | 1a Value: B |
| Holdings Date | M | 8n |
| Authorised User BIC Code | M | 11x |

| | | |
|---------------|---|--|
| Serial number | M | 2! Values: 01-02 01-Full disclosure 02-Incremental disclosure |
|---------------|---|--|

The file must be sent to Strate in text file format and must be named as follows:

P.EYYMMDD.V3.ZZZXXXXX.ZAXXXXXX (for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.ZZZXXXXX.ZAXXXXXX (for the disclosure of bonds)

P.EYYMMDD.V3.YYYXXXXX.ZAXXXXXX.XXXXXXXX.ZXXXX (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.YYYXXXXX.ZAXXXXXX.ZXXXXXXX.XXXXX (on-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests and the D denotes bonds;
- V3. refers to the version of the file;
- ZZZXXXXX. refers to the Authorised User's number in the relevant Exchange System. The first three characters (ZZZ) represent the relevant Exchange System;
- ZAXXXXXX. refers to the BPID of the relevant Exchange in the books of Strate;
- XXXXXXXX.ZXXXX. must be inserted when providing an on-demand disclosure and represents the ISIN number being disclosed. The first 8 characters are followed by a dot and the last 4 characters must be preceded by a Z. In other words, ZAE000463458 is reflected as ZAE00046.Z3458 and GB0000566504 is reflected as GB000056.Z6504.

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)

This is the BPID at Strate.

3. BPID (Srl No 4)

This is the BPID of the Authorised User for whom the file is being sent.

4. Registered Account number (Srl No 11)

This is the Authorised User Nominee Account in the books of the Participant (this information is also available from the Authorised User).

5. Account Type (Srl No 14)

This account type shows whether the account type is a Beneficiary Account (03) or is a FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee (10).

6. Registered Account number (Srl No 16)

This is a registered account number of the Nominee in the books of the Authorised User Nominee.

7. Beneficiary Account number (Srl No 17)

This is the Client account in the books of the Authorised User.

8. Client Name (Srl No 18)

Notwithstanding the manner in which the account is recorded in the records of the Participant or Authorised User, the Client's name in the BOR must indicate the identity of the Beneficiary. In respect of Own Name Clients, the categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following naming standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BOR format is 2*35x and the first names are to follow directly after the comma.

In other words, the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.

- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” must be recorded by inserting a comma after the first names followed by the account designation.
- Trust accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. The recording of trusts is therefore as follows – AB Family Trust. To facilitate sorting of securities holders by name “The” is not recorded. In other words, The AB Family Trust must be recorded as AB Family Trust.
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

9. Title (Srl No.19)

The following titles may be used:-

Title Codes

| Title Code | Description |
|----------------------|-------------------------|
| ADMIN | Administrator |
| ADML | Admiral |
| ADV | Advocate |
| AJ | Appeal Judge |
| BARON | Baron |
| BARONESS | Baroness |
| BRIG | Brigadier |
| BWYLE | Boedel Wyle (Afrikaans) |
| CAPT | Captain |
| CHIEF | Chief |
| COL | Colonel |
| COMM | Commander |
| COUNT | Count |
| COUNTESS | Countess |
| DAME | Dame |
| DR | Doctor |
| DS | Dominee (Afrikaans) |
| DUCHESS | Duchess |
| DUKE | Duke |
| EKS | Eksekuteur (Afrikaans) |
| EST LATE | Estate Late |
| ESTATE OF/THE ESTATE | Estate of/The Estate |
| EX | Executor |
| FATHER | Father |

| | |
|--------------|---|
| GEN | General |
| GENMAJ | General Major/Generaal Majoor (Afrikaans) |
| HON | Honourable |
| HRH | His or Her Royal Highness |
| INSP | Inspector/Inspekteur (Afrikaans) |
| JUDGE | Judge |
| JUSTICE | Justice |
| KAPT | Kaptein (Afrikaans) |
| KOL | Kolonel (Afrikaans) |
| KMDT | Kommandant (Afrikaans) |
| KONST | Konstabel (Afrikaans) |
| LADY | Lady |
| LT | Lieutenant |
| MADAM | Madam |
| MAJ | Major |
| MASTER | Master |
| ME | Mejuffrou/Mevrou (Afrikaans) |
| MEJ | Mejuffrou (Afrikaans) |
| MESSRS | Messieurs (male plural) |
| MEV | Mevrou (Afrikaans) |
| MRS | Mistress (female married singular) |
| MISS | Miss |
| MNR | Meneer (Afrikaans) |
| MR | Mister |
| MS | Miss |
| PASTOR/PSTR | Pastor |
| PASTOOR/PSTR | Pastoor (Afrikaans) |
| PRINCE | Prince |
| PRINCESS | Princess |
| PROF | Professor |
| RABBI | Rabbi |
| REGTER | Regter (Afrikaans) |
| REV | Reverend |
| SER | Sersant (Afrikaans) |
| SGT | Sergeant |
| SIR | Sir |
| SISTER | Sister |

10. Address (Srl No 21 & 22)

A valid address conforming to accepted postal standards, including a postal code, must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000.

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field, or an incomplete address, is not permitted.

11. E-mail Address (Srl No 22) – Also see the description for Srl No 35

If the Beneficiary requires communication by e-mail this field is mandatory. In other words, the field is populated with the e-mail address of the Beneficiary if the mail option selected is 03.

NB. In terms of the Companies Act, 2008, an Issuers has the responsibility to give notices to, and/or to communicate with its securities holders, and the securities holders have the right to receive notices from the Issuer.

12. Consolidated Account Owner (Srl No 26)

If the assets of the Beneficiary are being administered by an asset, investment or fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

13. Language Indicator (Srl No 27)

This field reflects the chosen language of the Beneficiary and is optional. At this stage only the following codes are available:

01 – English

02 – Afrikaans

The default code is 01 English.

14. Client Category (Srl No 28)

This is an optional field which reflects the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

15. Client Identifier (Srl No 29 and 30)

These fields cater for the identification number of the Client, for example the identification number, company registration number, etc. The fields are optional and are only populated if the information is carried by the Participant and Authorised User. The way in which the numbers are recorded is described in the file layout above.

16. Holdings (Srl No 34)

This is the quantity of Securities held.

17. Report Indicator (Srl No 35)

This field determines whether or not the Beneficiary requires annual reports, or other Issuer communications, to be sent directly to the Beneficiary by the Issuer. It also defines the method of communication i.e. postal service or e-mail.

2.4 FSCA APPROVED/STRATE RECOGNISED NOMINEE LAYOUT

| Srl No | Name | M/O/C | Field descriptions |
|--------|------|-------|--------------------|
|--------|------|-------|--------------------|

Mandatory Sequence A File Information

| | | | |
|----|---|---|--|
| 1. | Record Type Indicator | M | 1n Value: 1 |
| 2. | File Name | M | 23x |
| 3. | File Sender ID | M | 8x The 8 character BPID of the FSCA Approved/Strate Recognised Nominee in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 4. | BPID | M | 8x |
| 5. | Holdings Date | M | 8n (YYYYMMDD) |
| 6. | BIC Code if available or unique number as agreed with Participant | M | 11x |
| 7. | Preparation Date | M | 8n (YYYYMMDD) |
| 8. | Newline character | M | Newline Character only |
| | Total number of characters sequence A | | 67 |

End of Sequence A File Information

Mandatory Sequence B Account Information

| | | | |
|-----|---------------------------------------|---|---|
| 9. | Record Type Indicator | M | 1n Value: 2 |
| 10. | Central Securities Account | M | 8n The 8 digit Central Securities Account belonging to the Participant of the FSCA Approved/Strate Recognised Nominee in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 11. | Participant Registered Account number | M | 16x |
| 12. | Newline character | M | Newline Character only |

| | | | |
|--|---------------------------------------|--|----|
| | Total number of characters sequence C | | 25 |
|--|---------------------------------------|--|----|

End of Sequence B Account Information

Mandatory Repetitive Sequence C Client Details per Beneficiary Account Number

| | | | |
|-----|----------------------------|---|---|
| 13. | Record Type Indicator | M | 1n Value: 3 |
| 14. | Beneficiary Account number | M | 16x |
| 15. | Client Name | M | 2*35x |
| 16. | Title | C | 10x Mandatory, if it is a natural person |
| 17. | Address | M | 4*35x (each line to be padded with trailing spaces where appropriate) |
| 18. | Postal Code | M | 4!x9x Postal code standards to be used. NB. leading zeroes to be used where necessary. i.e. 0001 Field is left justified |
| 19. | Email address | C | 70x (If Annual Report Indicator is 03 then this field is Mandatory) |
| 20. | Contact Phone | O | 24x |
| 21. | Country Code | M | 2a |
| 22. | Classification Code | M | 4x |
| 23. | Consolidated Account Owner | O | 2*35x The name of the Asset/Investment/Fund Manager |
| 24. | Language Indicator | O | 2!n Values: 01 – 11 01 – English 02 – Afrikaans Default is 01 (01 and 02 to be populated at this stage) |

| | | | |
|-----|---------------------------------------|---|---|
| 25. | Client Category | O | 4!n Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts |
| 26. | Client Identifier 1 | O | 30!x Valid Values: 13!x (the rest 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002, and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009 |
| 27. | Client Identifier 2 | O | 30!x Valid Values: 11!x SARS Income Tax No for Categories: 0001, 0002, 0003, 0005, 0006 and 0008 For Category 0004, 0007 & 0009, this field must be filled with spaces |
| 28. | Newline Character | M | Newline Character only |
| | Total number of characters sequence C | | 486 |

End of Sequence C Client Details

Mandatory Repetitive Sequence C1 Holdings Details

| | | | |
|-----|------------------------------|---|--|
| 29. | Record Type Indicator | M | 1n Value: 4 |
| 30. | Identification of Securities | M | 12x |
| 31. | Holdings | M | <p>s15!d</p> <p>12 integers followed by 3 decimal places with an implied comma.</p> <p>This field represents the holdings:</p> <p>S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign { carried at the end of the field indicates the holdings is positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) holdings would be reflected as:- 0000000089300{</p> <p>Or as:- 00000000893000</p> |
| 32. | Report Indicator | C | <p>2n Values 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail (In accordance with section 32 of the Companies Regulations, 2011) 04 – Indicates 'No'. Not required (default)</p> |
| 33. | Newline character | M | Newline Character only |

| | | | |
|--|--|--|----|
| | Total number of characters sequence C1 | | 30 |
|--|--|--|----|

End of Sequence C1 Holdings Details

Mandatory Repetitive Sequence C2 Beneficiary Account Number Reconciliation

| | | | |
|-----|---|---|------------------------|
| 34. | Record Type Indicator | M | 1n Value: 5 |
| 35. | Beneficiary Account number | M | 16x |
| 36. | Total number of ISINs for the Beneficiary Account | M | 6n |
| 37. | Newline character | M | Newline Character only |
| | Total number of characters sequence C2 | | 23 |

End of Sequence C2 Beneficiary Account Number Reconciliation

Mandatory Sequence D Account Number Reconciliation

| | | | |
|-----|---|---|---|
| 38. | Record Type Indicator | M | 1n Value: 6 |
| 39. | Central Securities Account | M | 8n The 8 digit Central Securities Account belonging to the Participant of the FSCA Approved/Strate Recognised_Nominee in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 40. | Registered Account number | M | 16x |
| 41. | Total number of Beneficiary Accounts for the Registered Account. i.e. Total number of Account type 3s | M | 6n |
| 42. | Newline character | M | Newline Character only |
| | Total number of characters sequence D | | 31 |

End of Sequence D Account Number Reconciliation

Mandatory Sequence E File Reconciliation Details

| | | | |
|-----|---|---|-------------------|
| 43. | Record Type Indicator | M | 1n Value: 7 |
| 44. | File Name | M | 23x |
| 45. | Total number of Registered Accounts for the FSCA Approved/Strate Recognised Nominee | M | 6n Value: 1 |
| | Total number of characters sequence E | | 30 |

End of Sequence E File Reconciliation Details

Field Specifications

1. Filename (Srl No 2)

| Subfield | M/O/C | Field descriptions |
|---------------|-------|---|
| Indicator | M | 1a Value: F |
| Holdings Date | M | 8n |
| BIC Code | M | 11x |
| Serial number | M | 2n 01-Full disclosure 02-Incremental disclosure |
| Filler | M | 1b |

CARE: Institutions creating files directly from a mainframe application will use the Mainframe Layout and those institutions creating the file from an open system will use the Open System Layout. The mainframe naming standards require segments of the file name to be a maximum of 8 characters and the first character must commence with an alpha character.

The file should be sent to Strate in text file format and should be named as follows:

MAINFRAME LAYOUT

P.EYYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.ZXXXXXXXX.YYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.ZXXXXXXXX.YYYYYYYY.XXXXXXXXX.ZXXXX (on-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V3. refers to the version of the file;
- ZXXXXXXXX. refers to the Participant's CSA number, e.g. 20001791 is reflected as Z0001791, the Z supplanting the first digit of the CSA number;
- YYYYYYYY. refers to the to the Participant's BPID number, e.g. ZA100043;
- XXXXXXXX.ZXXXX. must be inserted when providing an on-demand disclosure and represents the ISIN number being disclosed. The first 8 characters are followed by a dot and the last 4 characters must be preceded by a Z. In other words, ZAE000463458 is reflected as ZAE00046.Z3458 and GB0000566504 is reflected as GB000056.Z6504.

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

OPEN SYSTEMS LAYOUT

P.EYYMMDD.V3.XXXXXXXXX.YYYYYYYY (for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.XXXXXXXXX.YYYYYYYY (for the disclosure of bonds)

P.EYYMMDD.V3.XXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of equities and participatory interests)

P.DYYMMDD.V3.XXXXXXXXXX.YYYYYYYY.ZZZZZZZZZZZZ (on-demand for the disclosure of bonds)

- P. is standard for all files;
- EYYMMDD. refers to the Holdings Date. The E preceding the date denotes equities and participatory interests, and the D denotes bonds;
- V3. refers to the version of the file;
- YYYYYYYY. Refers to the Participant's BPID number, e.g. ZA100043;
- ZZZZZZZZZZZZ. is the ISIN number for an on-demand report.

NB. The names must be in uppercase and the different sections of the filename are separated by a .(dot)

2. File Sender ID (Srl No 3)

This is the BPID at Strate.

3. BPID (Srl No 4)

This is the BPID of the FSCA Approved/Strate Recognised Nominee.

4. Registered Account number (Srl No 11)

This is the FSCA Approved/Strate Recognised Nominee Account in the books of the Participant.

5. Beneficiary Account number (Srl No 14)

This is the Client account in the books of the FSCA Approved/Strate Recognised Nominee.

6. Client Name (Srl No 15)

Notwithstanding the manner in which the account is recorded in the records of the Participant or FSCA Approved/Strate Recognised Nominee, the Client's name in the BOR must indicate the identity of the Beneficiary. In respect of Own Name Clients, the

categories referred to in Strate Directive SA.4 – *Requirements for Own Name Clients*, are applicable.

Naming Standards

The following naming standards are applicable for listed categories of Clients:

- Private individuals – Surname followed by the full first names. A comma must be used between the surname and first names to more easily and correctly identify the name. The BOR format is 2*35x and the first names are to follow directly after the comma. In other words, the name may wrap into the second line if required. The second line is not to be used specifically for recording the first name/s.
- Account designations such as; “No. 2 A/c” or “Blocked Rand Account” must be recorded by inserting a comma after the first names followed by the account designation.
- Trust accounts – In terms of the Trust Property Control Act, 1988 (Act 57 of 1988), an account or investment at a financial institution must be identifiable as a trust account or trust investment. The recording of trusts is therefore as follows – AB Family Trust. To facilitate sorting of securities holders by name “The” is not recorded. In other words, The AB Family Trust must be recorded as AB Family Trust.
- Estate Late – Estate Late must be recorded as Estate Late followed by the first names and surname.

7. Title (Srl No. 16)

The following titles may be used:-

Title Codes

| Title Code | Description |
|------------|-------------------------|
| ADMIN | Administrator |
| ADML | Admiral |
| ADV | Advocate |
| AJ | Appeal Judge |
| BARON | Baron |
| BARONESS | Baroness |
| BRIG | Brigadier |
| BWYLE | Boedel Wyle (Afrikaans) |
| CAPT | Captain |
| CHIEF | Chief |
| COL | Colonel |
| COMM | Commander |

| | |
|----------------------|---|
| COUNT | Count |
| COUNTESS | Countess |
| DAME | Dame |
| DR | Doctor |
| DS | Dominee (Afrikaans) |
| DUCHESS | Duchess |
| DUKE | Duke |
| EKS | Eksekuteur (Afrikaans) |
| EST LATE | Estate Late |
| ESTATE OF/THE ESTATE | Estate of/The Estate |
| EX | Executor |
| FATHER | Father |
| GEN | General |
| GENMAJ | General Major/Generaal Majoor (Afrikaans) |
| HON | Honourable |
| HRH | His or Her Royal Highness |
| INSP | Inspector/Inspekteur (Afrikaans) |
| JUDGE | Judge |
| JUSTICE | Justice |
| KAPT | Kaptein (Afrikaans) |
| KOL | Kolonel (Afrikaans) |
| KMDT | Kommandant (Afrikaans) |
| KONST | Konstabel (Afrikaans) |
| LADY | Lady |
| LT | Lieutenant |
| MADAM | Madam |
| MAJ | Major |
| MASTER | Master |
| ME | Mejuffrou/Mevrou (Afrikaans) |
| MEJ | Mejuffrou (Afrikaans) |
| MESSRS | Messieurs (male plural) |
| MEV | Mevrou (Afrikaans) |
| MRS | Mistress (female married singular) |
| MISS | Miss |
| MNR | Meneer (Afrikaans) |
| MR | Mister |
| MS | Miss |
| PASTOR/PSTR | Pastor |
| PASTOOR/PSTR | Pastoor (Afrikaans) |
| PRINCE | Prince |
| PRINCESS | Princess |
| PROF | Professor |
| RABBI | Rabbi |
| REGTER | Regter (Afrikaans) |
| REV | Reverend |
| SER | Sersant (Afrikaans) |
| SGT | Sergeant |
| SIR | Sir |
| SISTER | Sister |

8. Address (Srl No 17 & 18)

A valid address conforming to accepted postal standards, including a postal code, must be provided. If no postal code is available, the field must be populated with four zeroes, i.e. 0000.

NB. The use of any variations of: 'By Hand', 'Do Not Mail', 'Returned Post', 'Internal Mail', 'Fax numbers' or 'Hand to: Mr X' in the address field, or an incomplete address, is not permitted.

9. E-mail Address (Srl No 19) – Also see the description for Srl No 32

If the Beneficiary requires communication by e-mail this field is mandatory. In other words, the field is populated with the e-mail address of the Beneficiary if the mail option selected is 03.

NB. In terms of the Companies Act, 2008, an Issuers has the responsibility to give notices to, and/or to communicate with its securities holders, and the securities holders have the right to receive notices from the Issuer.

10. Consolidated Account Owner (Srl No 23)

If the assets of the Beneficiary are being administered by an asset, investment or fund manager, the name of the manager administering the fund may be populated in this field. The field is 2*35x.

11. Language Indicator (Srl No 24)

This field reflects the chosen language of the Beneficiary and is optional. At this stage only the following codes are available:

01 – English

02 – Afrikaans

The default code is 01 English.

12. Client Category (Srl No 25)

This is an optional field which reflects the category of the Client e.g. RSA citizen, Emigrant etc. The applicable codes to be supplied are described in the above file layout.

13. Client Identifier (Srl No 26 and 27)

These fields cater for the identification number of the Client, for example the identification number, company registration number, etc. The fields are optional and are only populated if the information is carried by the Participant and Authorised User. The way in which the numbers are recorded is described in the file layout above.

14. Holdings (Srl No 31)

This is the quantity of Securities held.

15. Report Indicator (Srl No 32)

This field determines whether or not the Beneficiary requires annual reports, or other Issuer communications, to be sent directly to the Beneficiary by the Issuer. It also defines the method of communication i.e. postal service or e-mail.

3. Output File Layout

3.1 ISSUER/ISSUER AGENT LAYOUT

| Srl No | Name | M/O/C | Field descriptions |
|--------|------|-------|--------------------|
|--------|------|-------|--------------------|

Mandatory Sequence A File Information

| | | | |
|----|-----------------------|---|------------------------|
| 1. | Record Type Indicator | M | 1n Value: 1 |
| 2. | File Name | M | 23x |
| 3. | File Sender ID | M | 8x |
| 4. | Holdings Date | M | 8n (YYYYMMDD) |
| 5. | Preparation Date | M | 8n (YYYYMMDD) |
| 6. | Newline character | M | Newline Character only |

End of Sequence A File Information

Mandatory Repetitive Sequence B Security Details Information

| | | | |
|----|------------------------------|---|------------------------|
| 7. | Record Type Indicator | M | 1n Value: 2 |
| 8. | Identification of securities | M | 12x |
| 9. | Newline character | M | Newline Character only |

Mandatory Repetitive Sequence B1 CSDP & CSA Holdings Details

| | | | |
|-----|-----------------------|---|-------------------|
| 10. | Record Type Indicator | M | 1n Value: 3 |
| 11. | BPID | M | 8x |
| 12. | Business Partner Name | M | 35x |

| | | | |
|-----|--------------------------------|---|---|
| 13. | Business Partner Address | M | 4*35x |
| 14. | Business Partner Postal Code | O | 13x |
| 15. | Business Partner Email Address | O | 70x |
| 16. | Contact Person | O | 35x |
| 17. | Contact Phone | O | 24x |
| 18. | Central Securities Account | M | 8n The 8 character Central Securities Account of the Participant in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 19. | Holdings | M | s15!d 12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals. The field is structured with leading zeros. The sign { carried at the end of the field indicates the holdings is positive. The sign } carried at the end of the field indicates a negative quantity. If no sign is present the field is deemed to be positive. i.e. – 893 (Negative) holdings would be reflected as :- 0000000089300} 893 (Positive) holdings would be reflected as:- 0000000089300{ Or as:- 00000000893000 |
| 20. | Reconciliation Indicator | M | 1x Values: Y – Successful N – Fail |

| | | | |
|-----|-------------------|---|------------------------|
| 21. | Newline character | M | Newline Character only |
|-----|-------------------|---|------------------------|

Mandatory Repetitive Sequence B1a Client Holdings Details

| | | | |
|-----|----------------------------|---|---|
| 22. | Record Type Indicator | M | 1n Value: 4 |
| 23. | Account type | M | 2nValues: 01 – Own Name Account 02 – Participant Nominee Account 03 – Beneficiary Account 04 – Authorised User Nominee Account 05 – FSCA Approved/Strate Recognised Nominee Account 06 – SDA 07 – SDA: Participant Nominee Account 08 – SDA: Authorised User Nominee Account 09 – SDA: FSCA Approved/Strate Recognised Nominee Account 10 – FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee |
| 24. | Registered Account number | M | 16x |
| 25. | Beneficiary Account number | C | 16x (Mandatory when Account type is 03, not present for other Account types) |
| 26. | Client Name | C | 2*35x |
| 27. | Title | O | 10x |
| 28. | Address | M | 4*35x |
| 29. | Postal Code | M | 13x Postal Code Standards to be used |
| 30. | Email address | C | 70x (If Annual Report Indicator is 03, then this field is Mandatory) |
| 31. | Contact Phone | O | 24x |

| | | | |
|-----|---------------------|---|---|
| 32. | Country Code | C | 2a (Mandatory when Account type is 01, 03 or 06 not mandatory for other Account types) |
| 33. | Classification Code | C | 4x (Mandatory when Account type is 01, 03 or 06 not mandatory for other Account types) |
| 34. | Client Category | O | 4!c Valid Values: 0001 – RSA Citizens 0002 – RSA Permanent Residents 0003 – Emigrants 0004 – Foreign Citizens 0005 – RSA Close Corporations 0006 – RSA Companies 0007 – Foreign Companies 0008 – Other Legal Persons 0009 – Trusts |
| 35. | Client Identifier 1 | O | 30x Valid Values: 13!x (the remaining 17 characters must be filled with spaces) RSA ID Number for Categories: 0001, 0002 and 0003 30x Personal Reference Number for Category: 0004 30x Company Registration Number for Categories: 0005, 0006 & 0007 30x Legal Form Reference Number for Category: 0008 30x Trust Deed Registration Number for Category: 0009 |

| | | | |
|-----|----------|---|--|
| 36. | Holdings | C | <p>s15!d (Mandatory for Account types 01, 02, 03, 04, 05, 06, 07, 08 and 09)</p> <p>12 integers followed by 3 decimal places with an implied comma.</p> <p>This field represents the holdings:</p> <p>S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign { carried at the end of the field indicates the holdings is positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>If no sign is present the field is deemed to be positive.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) holdings would be reflected as:- 0000000089300{</p> <p>Or as:- 00000000893000</p> |
|-----|----------|---|--|

| | | | |
|-----|---|---|--|
| 37. | The holdings of FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee | C | <p>s15!d (Mandatory only for Account type 10)</p> <p>12 integers followed by 3 decimal places with an implied comma. This field represents the holdings: S indicates that the field contains a sign, 15 indicates the number of characters present and d indicates the presence of decimals.</p> <p>The field is structured with leading zeros.</p> <p>The sign } indicates a negative quantity. If no sign is present the field is deemed to be positive.</p> <p>The sign } carried at the end of the field indicates a negative quantity.</p> <p>i.e. – 893 (Negative) holdings would be reflected as :- 0000000089300}</p> <p>893 (Positive) holdings would be reflected as:- 0000000089300{ Or as:- 00000000893000</p> |
| 38. | Report Indicator | O | <p>1a 01 – 03, indicates 'Yes' 01 – Full report by mail 02 – Abridged report by mail 03 – Electronic Notification by e-mail 04 – Indicates 'No'. Not required (default)</p> |
| 39. | Reconciliation Indicator | M | <p>1x Values: Y – Successful N – Fail</p> |
| 40. | Newline character | M | Newline Character only |

Mandatory Sequence B2 Account Reconciliation Details

| | | | |
|-----|----------------------------|---|----------------------------|
| 41. | Record Type Indicator | M | <p>1n Value: 5</p> |
| 42. | Central Securities Account | M | 8n |

| | | | |
|-----|---|---|--|
| 43. | Total number of Registered Account and Beneficiary Account combination for the Central securities Account | M | 6n The 8 character Safe Custody of the Participant in the Strate System used for Settlement of equity and bond Securities, and Units, as applicable |
| 44. | Newline character | M | Newline Character only |

Mandatory Sequence B3 Security & Account Reconciliation Details

| | | | |
|-----|---|---|------------------------|
| 45. | Record Type Indicator | M | 1n Value: 6 |
| 46. | Identification of securities | M | 12x |
| 47. | Total number of CSAs for the specified ISIN | M | 6n |
| 48. | Newline character | M | Newline Character only |

Mandatory Sequence B4 File Reconciliation Details

| | | | |
|-----|------------------------------------|---|-------------------|
| 49. | Record Type Indicator | M | 1n Value: 7 |
| 50. | File Name | M | 23x |
| 51. | Total number of ISINs for the file | M | 6n |

Field Specifications

1. Filename (Srl No 2)

| Subfield | M/O/C | Field descriptions |
|---------------|-------|--------------------|
| Indicator | M | 1a Value: T |
| Holdings Date | M | 8n |
| Serial number | M | 2n Value 01 |

2. File Sender ID (Srl No 3)

This is the BPID of Strate.

3. BPID (Srl No 11)

This is the BPID of the Participant.

4. Holdings (SRL No 19)

These are the holdings for the specified CSA.

5. Registered Account Number (Srl No 24)

This is the Own Name or Nominee Account in the books of the Participant.

6. Beneficiary Account Number (Srl No 25)

This is the Client account under the registered account in the books of the Participant or Authorised User.

7. Authorised User Nominee Holdings (Srl No 37)

These are the holdings specified by the Authorised User for a FSCA Approved/Strate Recognised Nominee holding a Securities Account under an Authorised User Nominee.

8. Report Indicator (Srl No 38)

This field determines whether or not the Beneficiary requires annual reports, or other Issuer communications, to be sent directly to the Beneficiary by the Issuer. It also defines the method of communication i.e. postal service or e-mail.