

## **Form CSD III**

### **SECURITIES ACT, 2010**

#### **THE CENTRAL SECURITIES DEPOSITORIES RULES, 2013**

#### **INFORMATION ON SHAREHOLDERS AND SUBSIDIARIES**

##### **Notes:**

1. Please read the explanatory notes and questions carefully before completing the form.
2. All questions must be answered. If a question is not applicable, please mark “N.A.” in the space provided. If there is insufficient space for your answers, please attach annexure(s) which should be identified as such and signed by the signatory to this application.
3. Where there is an asterisk (\*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. This application is to be signed by 2 directors or a director and a secretary of the applicant, and must be accompanied by the relevant documents and information requested in the various parts of this application.

#### **1. GROUP OWNERSHIP STRUCTURE**

Provide a diagrammatic representation of the applicant’s group ownership structure showing the applicant’s shareholders (whether company or individual) who hold 5% or more of the applicant’s issued share capital, and the applicant’s subsidiaries. Details to be provided at each ownership level should include each shareholder’s percentage shareholding ownership in the applicant and the applicant’s percentage shareholding ownership in each of its subsidiaries.

#### **2. PARENT COMPANY**

Provide the following details on the applicant’s parent company, if applicable, or majority shareholder, who is a company and subsidiaries of the parent is including details of any company in the family tree that is a licensed person under the Act or otherwise licensed by the FSRA:

- (a) Name: \_\_\_\_\_
- (b) Address and country of the principal place at which the business is carried out:  
\_\_\_\_\_
- (c) Telephone number and facsimile number: \_\_\_\_\_
- (d) E-mail address (if applicable): \_\_\_\_\_
- (e) Registered office (address and country): \_\_\_\_\_
- (f) Form of entity (e.g., association, company, etc.): \_\_\_\_\_
- (g) Date and place of formation or incorporation: Date \_\_\_/\_\_\_/\_\_\_ (dd/mm/yy)  
Place \_\_\_\_\_
- (h) Brief description of shareholder's business or functions:  
\_\_\_\_\_
- (i) Names of the chairman, other members of the board of directors and chief executive officer of the shareholder:  
\_\_\_\_\_
- (j) If applicable, list of names and addresses of persons holding 25% or more of the share capital of the shareholder:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- (k) Attach certified true copies of the latest audited profit and loss account, audited balance sheet and auditors' report, by whatever name called.

### **3. CONTROLLING INTEREST**

If anyone, other than those shown as directors and shareholders of the applicant, has ultimate controlling interest in the applicant, or directly or indirectly exercises or has the power to exercise controlling influence over the management and policies of the applicant, give details of each such person including the name, nationality, PIN (for Swaziland citizen or permanent resident) or passport number (for non-Swaziland citizen), address, occupation, academic/professional qualifications and executive directorship in any other company.

#### 4. MAJORITY SHAREHOLDER

Provide the following details on the applicant's majority shareholder who is a natural person:

- (a) Name: \_\_\_\_\_
- (b) Residential address and country: \_\_\_\_\_
- (c) Telephone number and facsimile number: \_\_\_\_\_
- (d) Place of birth and date of birth (dd/mm/yy): \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_
- (e) Nationality: \_\_\_\_\_
- (f) Identity card number/unique identification number (for Swaziland citizen or permanent resident)/passport number (for non-Swaziland citizen): \_\_\_\_\_
- (g) Occupation: \_\_\_\_\_
- (h) Directorships held in other companies: \_\_\_\_\_

#### 5. SUBSIDIARIES

Provide the following details on the applicant's subsidiaries (use a separate sheet for each subsidiary):

- (a) Name: \_\_\_\_\_
- (b) Address and country of the principal place at which the business is carried out:  
\_\_\_\_\_
- (c) Date and place of formation or incorporation: \_\_\_\_\_
- (d) Brief description of subsidiary's business or functions:  
\_\_\_\_\_
- (d1) Brief description of any licenses, authorizations or registrations granted in any jurisdiction: \_\_\_\_\_  
\_\_\_\_\_
- (e) Names of the chairman, other members of the board of directors and chief executive officer of the subsidiary: \_\_\_\_\_  
\_\_\_\_\_

## 6. DECLARATION

- a) We are aware that sections 66 of the FSRA Act, 2010 relating to false statements made in applications.
- b) We declare that all information given in this application and in the attached annexes and forms (if any) are true and correct.

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Name of Director:

\_\_\_\_\_

Name of Director/Secretary\*:

\_\_\_\_\_

Date (dd/mm/yy):

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Date (dd/mm/yy):

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

