

INSTRUCTIONS TO BE FOLLOWED BY OVER-THE-COUNTER DERIVATIVES PROVIDER (ODP) LICENCE APPLICANTS

1. All applicants must follow the relevant Application Index as guidance to submit a complete application. All applications are to be compiled in accordance with the Index and no items may be deleted or substituted.
2. It is imperative that the applicant provides all documents and/or information listed in the Index to facilitate the complete assessment of the application
3. The Application Index references the “**CONDUCT STANDARD 1 OF 2018 - CRITERIA FOR AUTHORISATION OF OTC DERIVATIVES PROVIDERS**”
4. An applicant may provide additional information over and above the information stipulated in the Application Index
5. **Banks** registered in terms of the Banks Act,1990 must follow the guidance of Application **Index 1** to submit a complete application
6. **Non – Banks** must follow the guidance of Application **Index 2** to submit a complete application
7. The applicant must complete Application Form 1 and 2 attached in the Application Index incorporated from **Annexures 1 to Form FM 6, B and C** of the “**CONDUCT STANDARD 1 OF 2018 - CRITERIA FOR AUTHORISATION OF OTC DERIVATIVES PROVIDERS**”
8. Non- Bank applicants must complete the Capital Adequacy Calculation template as designated by the FSCA
9. The ODP licence applicant must provide the Authority with the contact details of the primary and secondary contact person who will be responsible for the application.
10. All applicants to submit two hard copies of the application, together with **scanned versions** of the hard copies on two separate memory sticks.
11. The application must be accompanied by the proof of payment. Applications will not be assessed without proof of payment.

12. The application must be marked for the attention of **OTC Markets and Issuer Department** and delivered to the following address:

Riverwalk office park, Block B, 41 Matroosberg road
Ashlea gardens, extension 6, Pretoria, 0081

13. Late applications will not be accepted

14. The Authority may request any additional information deemed necessary

15. Any application that fails to comply with these requirements, will be returned to the applicant without being assessed