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IMPORTANT NOTICE

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BOARD NOTICES

BOARD NOTICE 176 OF 2011**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002
(ACT NO. 37 OF 2002)****NOTICE ON AMENDMENT OF EXEMPTIONS**

I, German Emmanuel Anderson, Deputy Registrar of Financial Services Providers, hereby under paragraph 4(a) of-

- (a) the Exemption of Banks in respect of Certain clients, 2004;
- (b) the Exemption of Morgan Stanley and AMB Holdings in respect of Certain Clients, 2004;
- (c) the Exemption of UBS South Africa and Deutsche Securities in respect of Certain Clients, 2007;
- (d) the Exemption of First Africa and RMB Investments and Advisory in respect of Certain Clients, 2008;
- (e) the Exemption of Nomura International in respect of Certain Clients, 2009;
- (f) the Exemption of certain Merrill Lynch Entities in respect of Certain Clients, 2009;
- (g) the Exemption of Goldman Sachs International in respect of Certain Clients, 2009;
- (h) the Exemption of The Bank of New York Mellon in respect of Certain Clients, 2010;
- (i) the Exemption of Marlow Advisors in respect of Certain Clients, 2010;
- (j) the Exemption of African Alliance Securities in respect of Certain Clients, 2010,
- (k) the Exemption of Allianz Global Investors Advisory and Allianz Global Investors Europe in respect of Certain Clients, 2011;
- (l) the Exemption of Raymond James & Associates and Raymond James Financial International in respect of Certain Clients, 2011;

(m) the Exemption of Renaissance BJM Securities in respect of Certain Clients, 2011,

amend paragraph 3 of the abovementioned Exemptions by the substitution for the date "31 October 2011" of the date "31 May 2012".

This Notice is called the Notice on Amendment of Exemptions No. 2, 2011, and comes into operation on 1 November 2011.

A handwritten signature in black ink, appearing to read 'G E Anderson', enclosed within a circular stamp or seal.

G E ANDERSON
Deputy Registrar of Financial Services Providers

BOARD NOTICE 177 OF 2011**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002
(ACT NO. 37 OF 2002)****EXEMPTION OF OLD MUTUAL INVESTMENT GROUP (SA) (PTY) LTD**

I, German Emmanuel Anderson, Deputy Registrar of Financial Services Providers, hereby exempt under section 44(4) of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), Old Mutual Investment Group (SA) (Pty) Ltd to the extent and subject to the conditions set out in the Schedule.



G E ANDERSON,
Deputy Registrar of Financial Services Providers

SCHEDULE**EXEMPTION OF OLD MUTUAL INVESTMENT GROUP (SA) (PTY) LTD****Definitions**

1. In this Schedule, "the Act" means the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), any word or expression to which a meaning is assigned in the Act shall have that meaning, and unless the context otherwise indicates-

"**AIIM**", means the African Infrastructure Investment Managers (Pty) Ltd;

"**client**", in relation to Old Mutual Investment Group, means the Infrastructural, Development and Environmental Managed Fund;

"**Discretionary Code of Conduct**", means the Code of Conduct for Discretionary FSPs, 2003;

"**Old Mutual Investment Group**", means Old Mutual Investment Group (SA) (Pty) Ltd;

“the transaction”, means the sale by AIIIM of 18.2% of the current issued share capital of ACED Renewables Cookhouse (Pty) Ltd with registration number 2009/006939/07 [to be renamed ACED Renewables Cookhouse Wind Farm 1 (Pty) Ltd] to the client;

Extent of exemption and condition

2. (1) Old Mutual Investment Group is exempted from paragraph 3.3(a) of the Discretionary Code of Conduct in respect of the transaction subject to the condition that it immediately must advise the Registrar of any change to the particulars furnished in its exemption application.
- (2) This Exemption shall, subject to paragraph 3, be valid for a period of one year from the date referred to in paragraph 4.

Amendment and withdrawal of exemption and conditions

3. This Exemption or conditions mentioned in paragraph 2 are subject to-
 - (a) amendment thereof published by the registrar by notice in the *Gazette*; and
 - (b) withdrawal in like manner.

Short title and commencement

4. This Exemption is called the Exemption of Old Mutual Investment Group (SA) (Pty) Ltd, 2011, and comes into operation on the date of publication in the *Gazette*.
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