

## PRESCIENT CAPITAL MARKETS

**Prescient Capital Markets** is an independent boutique advisory firm that provides regulatory advice, consulting, and related services to issuers of Specialist Securities listed in terms of the Debt and Specialist Securities (DSS) Requirements of the Johannesburg Stock Exchange (JSE).

Prescient Capital Markets is part of the larger Prescient Group – a global financial services group with a 27-year track record of providing solutions to clients in investment management, fund platform, management company and fund administration solutions and stockbroking.

**Prescient Capital Markets is the appointed Authorised Participant of the Prescient Fund Services ETF platform.**

ADVISE AND ASSIST WITH THE  
JSE LISTING PROCESS FOR  
SPECIALIST SECURITIES



DRAFTING OF JSE LISTINGS  
DOCUMENTATION IN COMPLIANCE  
WITH THE LISTINGS REQUIREMENTS



PROVIDING AUTHORISED  
PARTICIPANT SERVICES TO  
ETF ISSUERS



## LISTING ADVISORY SERVICES

We provide consulting services on the regulatory framework of Specialist Securities and advise clients on the application of the listing's requirements for:

- Exchange Traded Funds (ETFs) and Actively Managed Exchange Traded Funds (AMETFs)
- Notes and Actively Managed Certificates (AMCs)
- Structured Products

## AUTHORISED PARTICIPANT SERVICES

This service can be extended to all ETF issuers with listings on the JSE.

The Authorised Participant is appointed by the ETF issuer to efficiently facilitate the creation and redemption process of the ETF securities. The appointment ensures that the issued or redeemed ETFs are aligned with the underlying assets of the ETF scheme. The creations and redemptions of ETFs in the primary market is a dynamic process that involves the Issuer, Regulator, and Central Scrip Depository.

Our team of multi-skilled professionals are experienced in ETF structuring and administration, ensuring a seamless implementation that takes the administration burden away from our clients.

## KEY CONTACTS



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### REGULATORY INFORMATION

Prescient Capital Markets is a Juristic Representative of Prescient Fund Services (Pty) Ltd, an Authorised Financial Services Provider (FSP 43191).

Prescient Management Company (RF) Pty Ltd is registered and approved under the Collective Investment Schemes Control Act (No.45 of 2002) Registration number 2002/022560/07 and acts as a representative office.

Prescient Fund Services (Pty) Ltd is licensed with the Financial Sector Conduct Authority in South Africa as a Category 1 FSP providing an Intermediary Service, and is a registered Financial Services Provider (FSP No. 43191). Prescient Fund Services (Ireland) Limited is regulated by the Central Bank of Ireland. Prescient Fund Services (Ireland) Limited is authorised as a fund administrator, and as a management company pursuant to the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations, 2011 (SI 352 of 2011) as amended and as an Alternative Investment Fund Manager under AIFMD Regulations.

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