

Quantum Wealth Management (Pty) Ltd

Registration number 2001/020621/07

FSP862 Category I and II

(“the Company”)

Quantum Fund Managers (Pty) Ltd

Registration number 2013/208134/07

FSP46340 Category II

(“the Company”)

**FAIS REPRESENTATIVE DEPARTMENT POLICY AND
PROCEDURE**

(“the Policy”)



1. Policy approval and information

Policy owner	Board of directors			
Policy type	Compliance			
Approver's signature				
Approved by (this version)	Stefan Greeff			
Adopted by (this version)	Board of directors			
Approval date (this version)				
Version number (1 st)	V01.01 (1 st version created by Soundsolve Compliance)			
<u>Summary of policy history</u>				
<u>Version number</u>	<u>Drafted/adapted/reviewed by</u>	<u>Creation/review date</u>	<u>Approved by</u>	<u>Approval date</u>
V01.01	Gigi Vorlaufer	January 2020	N/A	N/A
V01.02	Dominique Kielblock	March 2023		
V01.03	Stefan Greeff	October 2023		

2. Executive summary

In terms of section 14(1) of the Financial Advisory and Intermediary Services Act (FAIS), a financial services provider (FSP) is required to withdraw the authority of an appointed Representative, if the Representative fails to comply with the fit and proper requirements, or has materially contravened or failed to comply with a provision of FAIS. This withdrawal of authority is referred to as Debarment. This section confers administrative decision-making powers on the FSP, because it is authorised as an FSP. Therefore, the FSP must comply with the Promotion of Administrative Justice Act (PAJA), when it wants to debar a Representative. The Debarment has an industry-wide effect on the Representative, not only the FSP that has brought about the Debarment. This is the policy and procedure, relating to Debarment, to which **Quantum Wealth Management (Pty) Ltd (Quantum)** must adhere to. **Quantum**, as a licensed financial services provider, is obliged to comply with the applicable FAIS regulatory requirements. This policy expresses the main principles envisaged by the FAIS representative debarment requirements, as well as the required business response.

3. Policy overview

3.1. Objective



This policy is not intended to be a detailed description of the FAIS representative debarment requirements, but expresses the main principles envisaged and, more importantly, the way **Quantum** is required to respond. The actual legislation is available on the FSCA website (<https://www.fscsa.co.za/Regulatory%20Frameworks/Pages/Notices.aspx>). For a more detailed interpretation of the requirements applicable to your business environment, please contact your compliance officer, legal advisor or HR consultant.

3.2. Scope and application

The Policy applies to **Quantum**, as defined, as amended from time to time. **Quantum** has formally adopted and implemented the Policy.

Quantum shall ensure that the Policy forms part of its Human Resources Policies and Procedures.

Queries may be addressed to the Chief Operating Officer.

4. Definitions

4.1. Quantum

means **Quantum Wealth Management (Pty) Ltd: Registration number 2001/020621/07; FSP862 Category I and II;**

4.2. Authority

means the Financial Sector Conduct Authority;

4.3. Code of Conduct

means a relevant code of conduct that has been promulgated under FAIS, and is binding on an FSP and/or Representative, in terms of section 15 of FAIS;

4.4. Compliance Officer

means the compliance officer of **Quantum**, appointed in terms of FAIS;

4.5. Debarment, Debar or Debarred



means the withdrawal of the authorisation of a Representative, as described in clause 5.1, and where the context requires, shall also refer to debarment by the Authority, in terms of section 14A of FAIS;

- 4.6. FAIS**
means the Financial Advisory and Intermediary Services Act, No. 37 of 2002 (including any Board Notices and Regulations thereto), as may be amended from time to time;
- 4.7. Financial product**
has the meaning assigned to it in section 1(1) of the Fit and Proper Requirements;
- 4.8. Fit and proper requirements**
means the Determination of Fit and Proper Requirements for Financial Services Providers, 2017;
- 4.9. FSP**
means an authorised financial services provider, as defined in section 1 of FAIS;
- 4.10. FSRA**
means the Financial Sector Regulation Act, No. 9 of 2017;
- 4.11. Key Individual**
means a natural person, who is a key individual for the purposes of FAIS, i.e. a person who is responsible for managing or overseeing the provision of financial services by an FSP and/or by a Representative.
- 4.12. PAJA**
means the Promotion of Administrative Justice Act, No. 3 of 2000;
- 4.13. Policy**
means this FAIS representative debarment policy;
- 4.14. Register**
means the register of Representatives and Key Individuals of such Representatives, which **Quantum** is required to maintain, in terms of section 13 of FAIS;
- 4.15. Representative**



means a person who is a representative for the purposes of FAIS, i.e. someone who is appointed to render financial services on behalf of an FSP, including a juristic representative of the FSP, and anyone who renders financial services for the FSP, on behalf of such juristic representative. Representatives are either employed by, or mandated to, the FSP;

- 4.16. Terms that are not defined in this clause, but which are defined in FAIS, shall have the meaning given to them in FAIS, unless the context clearly indicates otherwise.
- 4.17. A reference to one gender includes a reference to the other gender, and to the neuter.
- 4.18. Words in the singular shall include the plural, and vice versa, as required by the context.

5. Responsibilities of an FSP, relating to its representatives

- 5.1. FAIS requires an FSP to be satisfied that its Representatives and the Key Individuals of its Representatives, when rendering financial services, on behalf of the FSP, are competent to act, and comply with the fit and proper requirements, in terms of FAIS, and the requirements in respect of reappointing Debarred Representatives. The fit and proper requirements applicable to Representatives include:
 - 5.1.1. personal character qualities of honesty and integrity;
 - 5.1.2. good standing;
 - 5.1.3. competence;
 - 5.1.4. continuous professional development;
 - 5.1.5. operational ability; and
 - 5.1.6. financial soundness (applicable to juristic Representatives).
- 5.2. In addition, an FSP must take reasonable steps to ensure that its Representatives comply with any applicable Code of Conduct, as well as any other applicable laws on the conduct of business.

6. Debarment by an FSP

- 6.1. An FSP **must** Debar a Representative, or Key Individual of the Representative, of the FSP, from rendering financial services, who:
 - 6.1.1. no longer complies with the fit and proper requirements; or
 - 6.1.2. has materially contravened or failed to comply with a provision of FAIS,



if the FSP is satisfied, based on the available facts and information.

- 6.2.** The reasons for a Debarment must have occurred, and become known to the FSP, while the person was a Representative of the FSP.
- 6.3.** A decision to Debar a Representative must be taken very seriously, as section 14(1) of FAIS confers administrative decision-making powers on the FSP, because it is authorised as an FSP. Therefore, the FSP must comply with the Promotion of Administrative Justice Act (PAJA), when it wants to debar a Representative. In accordance with PAJA, before effecting the Debarment, the FSP must ensure that the Debarment process is lawful, reasonable and procedurally fair. The Debarment has an industry-wide effect on the Representative, not only the FSP that has brought about the Debarment. Debarment prevents the person from rendering any financial services as a Representative of any FSP. The Debarment decision stands until set aside by a Court of law, or until the Debarred person has been reappointed by **any** FSP.
- 6.4.** In respect of clauses 5.1 and 5.3 above, complying with the applicable qualification requirements is one of the fit and proper requirements. However, if a Representative has not met the qualification requirements within the prescribed time period, instead of Debarment, the FSP should consider other options, such as:

 - 6.4.1. submitting an exemption application to the Authority, requesting the Authority to extend the deadline date by which the Representative must obtain the qualification that the Representative is in the process of studying;
 - 6.4.2. amending the Representative's job profile, so that the job no longer falls within the ambit of providing financial services as a Representative. The Representative's details must be removed from the Register;
 - 6.4.3. undertaking disciplinary action against the Representative, in respect of the employment contract and/or supervision contract, which process may result in dismissal (but not Debarment). The Representative's details must be removed from the Register.
- 6.5.** The Authority has a relatively minor role with regards to Debarment. The Authority's role relates mainly to updating the central register of representatives, and publishing the Debarment, as a list of Debarred Representatives. The Authority is not empowered to intervene in, or overrule a Debarment effected by an FSP, or to review or lift a Debarment.
- 6.6.** Informing the Authority is necessary, so the Authority may:

 - 6.6.1. consider referring the Representative's actions for criminal investigation or enforcement action, in terms of section 6A of the Financial Institutions (Protection of Funds) Act;



- 6.6.2. possess the relevant information about the Debarment, when it is notified of the reappointment of a Debarred Representative by another FSP, so that the Authority can assess whether all the requirements for reappointing a Debarred Representative have been complied with;
- 6.6.3. be satisfied that the Debarment relates to issues of fitness and propriety, and not to issues outside the ambit of FAIS. If the Authority finds that the Debarring FSP was dishonest, or acted in bad faith, the Authority may investigate possible regulatory action against that FSP.

6.7. When considering Debarring a Representative, the FSP must:

- 6.7.1. ensure that an employment contract or mandate is/was in place, between the FSP and the Representative;
- 6.7.2. ensure that a supervision contract is/was in place, if the Representative was acting under supervision;
- 6.7.3. ensure that the relevant key individual, or another authorised person, may authorise the Debarment;
- 6.7.4. act without bias;
- 6.7.5. give adequate notice, in writing, to the Representative, stating:
 - 6.7.5.1. its intention to Debar the Representative;
 - 6.7.5.2. the grounds, and reasons, for the Debarment;
 - 6.7.5.3. any terms attached to the Debarment, including, in relation to un-concluded business, any measures stipulated for the protection of the interests of clients;
 - 6.7.5.4. provide the Representative with a copy of this Policy and procedure, governing the Debarment process;
 - 6.7.5.5. give the Representative a reasonable opportunity to make a submission in response;
 - 6.7.5.6. consider any response provided by the Representative, and then decide whether to Debar;
 - 6.7.5.7. immediately notify the Representative, in writing, of:
 - 6.7.5.7.1. the FSP's decision;
 - 6.7.5.7.2. the Representative's rights, in terms of the FSRA;



6.7.5.7.3. any formal requirements, in respect of proceedings for the reconsideration of the decision by the Tribunal.

6.8. If the FSP has Debarred the Representative, the FSP must:

- 6.8.1. immediately withdraw any authority that may still exist, for the Representative to act on behalf of the FSP;
- 6.8.2. where applicable, remove the Representative's name, or the name of the Key Individual of the Representative, from the Register;
- 6.8.3. immediately take steps, to ensure that the Debarment does not prejudice the interest of the Representative's clients, and that any of the Representative's un-concluded business is properly attended to. In terms of this Policy, the Key Individual who is responsible for the Debarred Representative, is responsible for this action;
- 6.8.4. immediately remove the name of the Debarred Representative, and the name of the Key Individual of the Debarred Representative (if the Representative is a Juristic Representative), from the Register. In terms of this Policy, the Compliance Officer is responsible for this action;
- 6.8.5. notify the Authority about the Debarment, within 5 days of the Debarment, in the form and manner determined by the Authority. The current process is to complete Part I of the Debarment Notification Form, annexed to this Policy, and submitting it to the Authority, by either hand delivery, or e-mail, to the following addresses:

Hand delivery: For attention: FAIS Compliance
The FSCA
Riverwalk Office Park, Block B
41 Matroosberg Road
Ashlea Gardens, Extension 6
Pretoria
South Africa

E-mail: For attention: FAIS Compliance (debarment@fsca.co.za);

- 6.8.6. provide the Authority with the detailed grounds and reasons for the Debarment, within 15 days of the Debarment, in the form and manner determined by the Authority. The current process is to complete Part II of the Debarment Notification Form, annexed to this Policy, and submitting it, together with the required supporting documents/information, to the Authority, by either hand delivery, post, or e-mail, to the following addresses:

Hand delivery: For attention: FAIS Compliance
The FSCA
Riverwalk Office Park, Block B



41 Matroosberg Road
Ashlea Gardens, Extension 6
Pretoria
South Africa

E-mail: For attention: FAIS Compliance (debarment@fsca.co.za)

Post: For attention: FAIS Compliance
The FSCA
P. O. Box 35655
Menlo Park
0102.

- 6.9.** If the FSP is unable to locate the Representative, to deliver a document or information, in terms of clauses 5.6 and/or 5.7 above, after taking all reasonable steps to do so, including dissemination through electronic means, where possible, delivering the document or information to the Representative's last known e-mail or physical business or residential address, will be sufficient.
- 6.10.** If the Debarment relates to a Representative, who is no longer a Representative of the FSP, must be commenced not longer than 6 months from the date that the Representative ceased to be a Representative of the FSP.
- 6.11.** For the purposes of Debarring a Representative, the FSP must have regard to information regarding the conduct of the Representative, which is furnished by the Authority, the Ombud, or any other interested person.
- 6.12.** For the purpose of record keeping, the Authority may require information relating to the Debarment, to enable the Authority to maintain and continuously update a central register of all Debarred persons, which must be published on the web site of the Authority, or by means of any other appropriate public media. Currently, the documents/information related to the Debarment, which must be submitted to the Authority, together with Part II of the Debarment Notification Form, are, including, but not limited to:
- 6.12.1. All documents and information supporting the grounds/reasons for the Debarment;
 - 6.12.2. Copy of the employment contract or mandate between the FSP and the Debarred representative;
 - 6.12.3. Copy of the transcript/minutes and outcome of the Debarment hearing; and
 - 6.12.4. Forensic/investigation report and any other relevant documents.
- 6.13.** A Debarred Representative may not render financial services, or act as a Representative, or Key Individual of a Representative, of any FSP, unless the person has complied with all the requirements for the reappointment of a Debarred Representative, or Key Individual of a Representative.



7. Appointment of, and contracts with, representatives and debarment proceedings

- 7.1. **Quantum** must ensure that it does not appoint any Debarred person as a Representative, including a person Debarred by the Authority, in terms of section 153 of the FSRA. **Before appointing a person as a Representative, the compliance officer will review the FSCA FAIS central register of Debarred Representatives, to ensure that the person is not a Debarred Representative.**
- 7.2. **Quantum** must ensure that the contract, in terms of which a Representative is appointed, whether this is an employment contract or other mandate, makes provision for the Debarment of the Representative, as required in terms of FAIS, including any Debarment by the Authority.
- 7.3. The Key Individual who is responsible for the Representative, shall be responsible for initiating and overseeing the proceedings to be followed, in relation to a possible Debarment by **Quantum**, and shall ensure that the Compliance Officer is promptly informed of the outcome of such proceedings.
- 7.4. In addition to the requirements stipulated in clause 5.7, any applicable disciplinary procedures shall be followed, while conducting Debarment proceedings. The consequences of Debarment on the future employment of any Representative that is an employee of **Quantum** shall depend on the circumstances and the legal requirements that apply, whether in terms of the employment contract or applicable law.

8. Debarment by the Authority or Ombud Council

- 8.1. Section 153, and section 205, respectively, of the FSRA empowers the responsible Authority or Ombud Council to make a Debarment Order, in respect of a natural person, if that person has:
 - 8.1.1. materially contravened a financial sector law (for example, FAIS), or in so far as it relates to ombud schemes or an Ombud Council rule, as the case may be;
 - 8.1.2. materially contravened an enforceable undertaking that was accepted by the Authority, in terms of section 151(1) of the FSRA;
 - 8.1.3. attempted, or conspired with, aided, abetted, induced, incited, or procured another person to materially contravene a financial sector law, or in so far as it relates to ombud schemes, as the case may be;
 - 8.1.4. materially contravened a law of a foreign country that corresponds to a financial sector law.



- 8.2.** A Debarment Order prohibits the natural person, for the period specified in the Debarment Order, from:
- 8.2.1. providing, or being involved in, the provision of, specified financial products or financial services, generally, or in circumstances specified in the order;
 - 8.2.2. acting as a key person of a financial institution (this would be a Key Individual);
 - 8.2.3. providing specified services to a financial institution, whether under outsourcing arrangements or otherwise; or
 - 8.2.4. performing a specified role in relation to an ombud scheme.
- 8.3.** A Debarment Order is effective from the date on which it is served on the person, or if the order specifies a later date, the later date.
- 8.4.** A natural person, who is subject to a Debarment Order may not engage in conduct that, directly or indirectly, contravenes the Debarment Order.
- 8.5.** The natural person contravenes the order, if they enter into an arrangement with another person, to engage in the conduct that directly, or indirectly, contravenes a Debarment Order, on behalf of, or in accordance with, the directions, instructions or wishes of, the natural person, who is subject to the Debarment Order.
- 8.6.** A licensed financial institution (for example, an FSP) that becomes aware that a Debarment Order has been made, in respect of a natural person employed, or engaged by the financial institution (for example, a Representative or Key Individual), must take all reasonable steps to ensure that the Debarment Order is given effect to.
- 8.7.** The responsible authority that made a Debarment Order, may, by order, and on application by the Debarred natural person, reduce the period of the Debarment Order, or revoke the debarment order.
- 8.8.** The responsible authority must publish each Debarment Order, and each order that is reduced or revoked, that it makes.
- 8.9.** Before making a Debarment Order, the responsible Authority or Ombud Council must:
- 8.9.1. give a draft of the Debarment Order to the person, and to the other financial sector regulator(s), together with reasons for, and other relevant information about, the proposed Debarment; and
 - 8.9.2. invite the person to make submissions on the matter and give the person a reasonable period to do so, which period must be at least 1 month.
- 8.10.** When deciding whether, or not, to make a Debarment Order, the responsible Authority or Ombud Council must consider, at least:
- 8.10.1. any submission made by, or on behalf of, the person; and



8.10.2. any advice from the other financial sector regulator(s), as the case may be.

8.11. If the responsible authority is unable to locate the person, to deliver a document relating to the Debarment Order, or the Debarment Order, after taking all reasonable steps to do so, including dissemination through electronic means, where possible, delivering the document or information to the person's last known e-mail or physical business or residential address, will be sufficient.

9. Reappointment of debarred person as representative

9.1. A Debarred Representative cannot render financial services, unless reappointed as a Representative. An FSP cannot reappoint a Debarred Representative, unless it has complied with the requirements for reappointing a Debarred Representative.

9.2. The reappointment of a Debarred Representative is the prerogative of an FSP.

9.3. The Authority only becomes aware of the reappointment of a Debarred Representative, due to the FSP's compliance with the conditions attached to its licence, to notify the Authority of any change to its Register. The reappointment of a Debarred Representative will result in a change in the FSP's Register, as it has the effect of that person becoming a Representative of the FSP. The failure to comply with this licence condition does not affect the validity, or lawfulness, of the reappointment of a Representative by an FSP.

9.4. **Quantum** shall be entitled to appoint a Debarred Representative as a Representative, if all the requirements for re-appointment are complied with on the date of reappointment, and where necessary, to prove compliance, **Quantum** has been provided with the relevant original substantiating documents, or certified copies thereof, by the Debarred Representative and, where appropriate, by the FSP that Debarred the Representative, or any other person, as follows:

9.5. At least 12 months have elapsed since the date of Debarment, unless the Debarment related to the Debarred Representative having not complied with any fit and proper requirements, and the Debarred Representative now complies with the requirement, and 12 months have not yet elapsed. The relevant original substantiating documents, or certified copies thereof, must be provided, as proof of compliance.

9.6. All un-concluded business of the Debarred Representative has been properly concluded. The Debarred Representative must provide an Affidavit, or certified copy thereof, confirming that all un-concluded business has been properly concluded.

9.7. All:



- 9.7.1. complaints or legal proceedings (if any), submitted by clients, to the Debarred Representative, the FSP that Debarred the Representative, the Ombud, or any court of law; or
- 9.7.2. other administrative or legal procedures, or proceedings in terms of FAIS, or any other law,

arising out of any acts or omissions, in which the Debarred Representative was directly, or indirectly, involved, prior to the Debarment date, have been properly, and lawfully, resolved or concluded, and that the Debarred Representative has fully complied with any given or issued decision, determination or court order, in connection therewith. The relevant original substantiating documents, or certified copies thereof, must be provided, as proof of compliance. The Debarred Representative must provide an Affidavit, or certified copy thereof, confirming that all complaints, legal proceedings, administrative procedures, and/or proceedings in terms of FAIS, have been resolved or concluded, and all given or issued decision, determination or court order, in connection therewith, have been fully complied with.

- 9.8. All fit and proper requirements are complied with. The relevant original substantiating documents, or certified copies thereof, must be provided, as proof of compliance. The Debarred Representative must provide an Affidavit, or certified copy thereof, confirming that all fit and proper requirements are complied with. If the Debarred Representative was debarred due to a lack of honesty and integrity, the Affidavit must set out the reasons for reform or rehabilitation.
- 9.9. In addition to informing the public about the Debarment of Representatives, the Authority's register of Debarred Representatives also serves as an important disclosure function to FSPs, who may confirm that the person that they are considering reappointing as a Representative, does appear on the list, and the list includes the reasons for the Debarment.
- 9.10. **Quantum** that has reappointed a Representative, must add the details of the reappointed Representative to its Register. In terms of this Policy, the Compliance Officer is responsible for this action;
- 9.11. **Quantum** must notify the Authority about the change to the Register, within 15 days of the change. The notification must currently be made manually, which notification must include a Form FSP 5. The notification must include at least the following documents, to enable the Authority to monitor compliance with the requirements for reappointing Debarred Representatives:
 - 9.11.1. Form FSP 5;



- 9.11.2. an Affidavit from the reappointed Representative, or certified copy thereof, confirming that all un-concluded business has been properly concluded;
- 9.11.3. an Affidavit from the reappointed Representative, or certified copy thereof, confirming that all complaints, legal proceedings, administrative procedures, and/or proceedings in terms of FAIS, have been resolved or concluded, and all given or issued decision, determination or court order, in connection therewith, have been fully complied with;
- 9.11.4. an Affidavit from the reappointed Representative, or certified copy thereof, confirming that all fit and proper requirements are complied with. If the Debarred Representative was Debarred due to a lack of honesty and integrity, the Affidavit must set out the reasons for reform or rehabilitation;
- 9.11.5. any other information/documents that were considered by **Quantum**, relating to reappointing the Debarred Representative;
- 9.11.6. confirmation from a Key Individual of **Quantum** that he/she is satisfied that the Representative has complied with the requirements for reappointing Debarred Representatives.

10. Training of employees

- 10.1.** All Representatives and Key Individuals, as well as any other identified persons, including Human Resources, must be trained about the Debarment of Representatives, and the requirements of this Policy.
- 10.2.** All affected employees must be provided with a copy of the Policy, in hard copy or electronic format, or with an electronic link to the Policy.

11. Policy review and amendments

- 11.1.** The Policy shall be reviewed from time to time, as deemed necessary.
- 11.2.** The Policy may be amended from time to time, if required by law, or by any internal changes or requirements.



**ANNEXURE
DEBARMENT NOTIFICATION FORM
PART I**

Note:

An FSP must, within five days of the debarment of a representative, notify the Authority of that debarment by completing Part I of this Form and submitting it to the Authority by either hand delivery or electronic mail to the addresses listed in Table A of FSCA Notice 17 of 2018.

1. PARTICULARS OF THE DEBARRING FSP

FSP Name

FSP Number

2. PARTICULARS OF THE PERSON AT THE FSP WHO EFFECTED THE DEBARMENT

Full Names

Surname

Position at the FSP [Designation

Mobile phone number

Telephone number

E-mail address

3. RECENT PARTICULARS OF THE DEBARRED REPRESENTATIVE

Title

Full Names

Surname

Identity No. / Passport No. /

Registration No.

Physical address

Postal Address

Telephone number

Mobile phone number

E-mail address

4. DATE ON WHICH THE REPRESENTATIVE WAS DEBARRED

Debarment date

5. GROUNDS OF DEBARMENT



Indicate the grounds of the debarment.			
(a) Non-compliance with Fit and Proper Requirements	Honesty and Integrity		<input type="checkbox"/>
	Competency		<input type="checkbox"/>
	Operational ability		<input type="checkbox"/>
	Financial soundness		<input type="checkbox"/>
(b) Any other material contravention or non- D compliance with provisions of the Act			
Indicate the non-complied or contravened provision of the Act.			

6. DETAILS OF PERSON COMPLETING PART I OF THE FORM
Name
Designation
Place
Date
Signature

PART II

Note:
An FSP must, within 15 days of the debarment of a representative, submit Part II of the Form to the Authority with the information / documentation referred to in paragraph 8 by any of the delivery methods listed in in Table A of FSCA Notice 17 of 2018.

7. Particulars of the debarring FSP and Debarred Representative
FSP Name
FSP Number
Initials and Surname of Debarred Representative
Identity No. / Passport No. / Registration No. of Debarred Representative

8. Grounds and Reasons



Submit with within 15 days from date of debarment, all relevant documentation which formed the grounds and reasons for the debarment, including but not limited to the following:

(a) All documentary evidence and information supporting the grounds/reasons for the debarment

(b) A copy of the employment contract or mandate between the FSP and the debarred representative.

(c) A copy of transcript / minutes and outcome of debarment hearing.

(d) Forensic/investigation report and any other relevant documents.

9. Details of person completing Part II of the Form

Name

Designation

Place

Date