

**RETURN BY AUTHORISED PERSONS IN RESPECT OF AMOUNT OF
GUARANTEE TO BE FURNISHED BY AN INDEPENDENT INTERMEDIARY
IN TERMS OF REGULATION 4.4(I) AND (ii) OF THE SHORT-TERM
INSURANCE ACT, (NO. 53 OF 1998) ("the Act")**

Name of Independent Intermediary:

(Insert the name of the independent intermediary referred to in regulation 4.1 (1) of the Act)

FSP Number

.....
(Insert the number allocated to the Independent Intermediary approved as a Financial Services Provider under Financial Advisory and Intermediary Services Act, 2002 (No.37of 2002.)

Financial Year Ended:

1. The aggregate amount of gross short-term insurance premiums less commissions, which became due to short-term insurers and underwriters at Lloyd's during the above year amounted to:
R.....
2. Amount of guarantee required (30 percent of amount in 1)*:
R.....
3. Less amount of guarantee in force at present:
R.....
4. Amount of additional guarantee required:
R.....

.....
.....
Date Signature of independent intermediary

*** Minimum amount : R100 000-00 / Maximum amount: R100 million**

1 April 2008 to 31 March 2009 (2008/09)	R 60 000 000
1 April 2009 to 31 March 2010 (2009/10)	R 70 000 000
1 April 2010 to 31 March 2011 (2010/11)	R 80 000 000
1 April 2011 to 31 March 2012 (2011/12)	R 90 000 000
1 April 2012 to 31 March 2013 (2012/13)	R 100 000 000

REPORT:

1. (In the case of a company or {CC / Partnership / Sole Proprietor} requiring an Audit) BY AUDITOR in respect of

(Name of Independent Intermediary, hereinafter referred to as the "intermediary")

I/We have reviewed the information in the attached return relating to information applicable to the guarantee required in terms of regulation 4.1 (2) of the Act. I/We have initialled the return for identification purposes. The financial information on which this return is based, is the responsibility of the company's directors. My/Our responsibility is to report on this return.

My/Our review was generally limited to analytical procedures, to discussion with the organisation's personnel responsible for financial and accounting matters, and to review and analyse certain information. It should be recognised that my/our review did not constitute an audit and may not necessarily have revealed all material facts.

My/Our review revealed nothing which caused me/us to believe that the said intermediary was not in compliance, as at . . .
..... 20. . . . (last date of intermediary's financial year), with the regulations of the Act.

.....
.....
Signature of auditor/s Name of auditor/s in block letters

Document Six

Address:

.....

Date:

2. (In the case of any other enterprise than a company) BY INDEPENDENT ACCOUNTING OFFICER in respect of

(**Name of Independent Intermediary**, hereinafter referred to as at the “intermediary”)

I have reviewed the information relating to the guarantee required in terms of regulation 4.1 (2) of the said Act, reflected in the attached return. I have initialled the return for identification purposes. The financial information, on which this return is based, is the responsibility of the members, partners or other persons managing the enterprise. My responsibility is to report on this return.

I have determined that the return is in agreement with the financial statements and the accounting records, and have done so by adopting such procedures and conducting such enquiries in relation to the books of account and records as at I considered necessary in the circumstances. It should be recognised that no audit has been performed and my review may not necessarily have revealed all material facts.

My review revealed nothing which caused me to believe that the said intermediary was not in compliance, as at
..... 20. ... (last date of intermediary’s financial year), with the regulations of the Act.

.....
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Signature of accounting officer

.....
.....

Name of accounting officer in block letters

Address:

Date: