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GOVERNMENT NOTICES • GOEWERMENTSKENNISGEWINGS

DEPARTMENT OF TRADE, INDUSTRY AND COMPETITION

NO. 3151

10 March 2023

COMPANIES ACT 2008, (ACT NO. 71 OF 2008)**GENERAL LAWS AMENDMENT ACT, 2022 (ACT NO. 22 OF 2022)****INVITATION FOR PUBLIC COMMENT ON
THE DRAFT COMPANIES AMENDMENT REGULATIONS 2023**

The Minister of Trade, Industry and Competition, in consultation with the Companies and Intellectual Property Commission, under section 223(1)(b) and (2) of the Companies Act, 2008 (Act No.71 of 2008), hereby publish for public comments the draft Companies Amendment Regulations 2023, resultant from the General Laws Amendment Act, 2022, signed into law on 29 December 2022. The proposed Regulations are indicated in the schedule hereto.

Stakeholders and interested persons are invited to submit comments in writing on the proposed regulations within a period of fourteen (14) days of the publication of this notice to the Minister of Trade, Industry and Competition, for the attention of Ms Zodwa Matiwane email: ZMatiwane@thedtic.gov.za or hand delivered at 3rd Floor, Block E, 77 Meintjies Street, Sunnyside, 0132.



EBRAHIM PATEL
MINISTER OF TRADE, INDUSTRY AND COMPETITION

DATE: 10 - 3 - 2023

COMPANIES AMENDMENT REGULATIONS, 2023**GENERAL EXPLANATORY NOTE**

<u> </u>	Words underlined with a solid line indicate insertions in existing enactments
[]	Words in bold type between square brackets indicate omissions from existing enactments

Amendment of Regulation 2 of the Companies Regulations, 2011

1. Regulation 2 is hereby amended:
 - a. by the substitution for the definition of “certified copy” of the following definition:
 - “(a) **“certified copy”** means a true copy of **[a]** an original document certified **[as such]** by a person having authority to do so in accordance with such conditions as prescribed by the Commission from time to time, or electronically certified in terms of the Electronic Communications and Transactions Act, 2002 (Act No. 25 of 2002) by a person having authority to do so;”; and
 - b. by the insertion after the definition “certified copy” of the following definition:
 - “(aA) **“Financial Intelligence Centre”** means the Financial Intelligence Centre established by section 2 of the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001);”.

Amendment of Regulation 5 of the Companies Regulations, 2011

2. Regulation 5 is hereby amended:
 - a. by the substitution for subregulation (1)(b) of the following subregulation:
 - “(b) for a purpose listed in column 2 of **[that]** Table CR 1,”;
 - b. by the insertion after subregulation (1) of the following subregulation:
 - “(1A) The Commission may at any time, and on a continual basis, verify the following information filed with it –
 - (a) the name and registration number of the company or external company;
 - (b) the legal type and status of the company or external company;
 - (c) the address of the registered office of the company or external company;

- (d) the memorandum of incorporation or other similar constitutional or founding documents of the company or external company, and
 - (e) a list of all directors (including their name and identity numbers (if South African) or passport numbers (if non-South African) of the company or external company.”;
 - c. by the substitution for subregulation (2) of the following subregulation:
 - “(2) **[If a] A regulatory agency may at any time require, or cause, the verification of any information and [has reasonable grounds for uncertainty whether a copy of a document] any documentation filed or to be filed with the regulatory agency as contemplated in this regulation 5 and [is in fact unaltered, as contemplated in section 6 (7), the regulatory agency] may for such purpose–**
 - (a) require the company or external company who filed, or the person seeking to file, information or the copy or certified copy of [that] a document to provide–
 - (i) a certified copy of the document; and
 - (ii) written confirmation signed by such person, or an authorised representative of the company or external company, that the documentation or information disclosed to the regulatory agency at the time of the filing is truthful and complete; and
 - (iii) such other supporting information or documentation which the regulatory agency may reasonably require to verify the information and/ or documentation filed or to be filed with it; and
 - (b) liaise with any regulatory authority, foreign or international authority or any other person or entity on matters of common interest, and without limiting the generality of this regulation, may exchange information with, and receive information from, any such regulatory authority, foreign or international authority or any other person in order to verify any information or documentation filed or to be filed with the regulatory agency.”;
 - d. by the substitution for subregulation (3) of the following subregulation:
 - “(3) The Commission may from time to time by written notice request a company to file a certified copy of any document that had previously been filed under the Act or these regulations: Provided that no prescribed fee that would normally be required when filing any such document will be payable when filing the certified copy in compliance with the request.”; and
 - e. by the insertion after subregulation (3) of the following subregulations:
 - “(4) The Commission is required to keep proper files and records of–
 - (a) the information listed under subregulation 5(1A); and
 - (b) any records contemplated under regulation 121A, and all supporting documentation in relation thereto, which is filed with the Commission by, and in respect of, a company or external company in accordance with these regulations for a minimum period of 5 years after such company or external company has been dissolved.

- (5) Without limiting regulation 5(4) above, the records—
- (a) may be kept in electronic form, provided that—
- (i) the records must at all times be capable of being reproduced in legible format and retrieved to a readable and printable form, including by converting the records from legacy to later systems, storage media, or software, to the extent necessary from time to time; and
- (ii) the Commission must provide adequate precautions against loss of the records as a result of damage to, or failure of, the media on which the records are kept; and
- (b) must be brought up to date as and when a compliant notice of change to any of the information listed under subregulation 5(1A) of a company is received and processed by the Commission.”.

Amendment of Regulation 30 of the Companies Regulations, 2011

3. Regulation 30 is hereby amended:

a. by the substitution for the heading of the following heading:

“Company annual returns and other related filings

See s.33 and s.33(1A)”;

b. by the substitution for subregulation (1) of the following subregulation:

- “(1) A company must file its annual return with the Commission in Form CoR 30.1 together with—
- (a) the prescribed fee set out in Table CR 2B unless exempt from such payment under subregulation (8); and
- (b) in such manner and form as prescribed by the Commission, a copy of the company's securities register, as required in terms of section 50 of the Act,
- within 30 business days after the anniversary of—
- [a](c)** its date of incorporation, in the case of a company that was incorporated in the Republic; or
- [b](d)** the date that its registration was transferred to the Republic, in the case of a domesticated company.”;

c. by the insertion after subregulation (1) of the following subregulation:

- “(1A) An affected company must also file, in such manner and form as prescribed by the Commission, a copy of its register of the disclosure of beneficial interest, as required in terms of section 56(7)(aA) of the Act, together with its annual return as contemplated in subregulation (1).”;

d. by the insertion after subregulation (7) of the following subregulations:

“(7A) Notwithstanding subregulation (7), a company and an external company shall at all times be required to file the applicable CoR form with the Commission, or where no such CoR form exists, a written notice together with certified copies of all supporting documentation in such manner and form as prescribed by the Commission, regarding changes to the following information:

- (a) the name of a company or an external company, on or within 10 business days of the amendment being effected;
- (b) the legal type and status of a company or an external company, on or within 10 business days of the amendment being effected;
- (c) the address of the registered office of a company or an external company, at least 5 business days before the change has been effected;
- (d) the memorandum of incorporation or other similar constitutional or founding documents of a company or an external company, on or within 10 business days of the amendment being effected; and
- (e) the directors of a company or an external company, on or within 10 business days of the amendment being effected.

“(7B) Failure to file the applicable CoR form timeously, notifying the Commission of a change of such information, as required under the Act and these Regulations constitutes non-compliance by the company or external company under the Act and these Regulations.”;
and

e. by the insertion after subregulation (8) of the following subregulations:

“(9) The Commission shall provide electronic access to any person to view copies of a company’s annual returns filed with the Commission.

“(10) The Commission shall provide electronic access to view copies of the documents filed together with an annual return with the Commission as contemplated in regulation 30, to such persons and on such conditions as may be determined by the Commission, after consultation with the Minister and the Financial Intelligence Centre.”.

Amendment of Regulation 32 of the Companies Regulations, 2011

4. Regulation 32 is hereby amended:

a. by the substitution for the heading of the following heading:

“Company securities registers

See s.50(1)(b) and s. 50(3A)”;

b. by the deletion in subregulation (1) of “profit”;

c. by the substitution for subregulation (3) of the following subregulation:

“(3) [If a company contemplated in section 56(7) has received any disclosure of a beneficial interest referred to in that section, the

securities register of that company, despite any additional requirements that may be imposed by a central securities depository, must also include] Where any of the securities of a company that does not fall within the meaning of an “affected company” are held by one person for the beneficial interest of another as contemplated in the Act, that company must also include in its securities register, despite any additional requirements that may be imposed by a central securities depository–

- (a) a record of all such disclosures, including the following information for any securities in respect of which a disclosure was made–
 - (i) the name and unique identifying number of the registered holder of the **[securities] security**; and
 - (ii) the number, class and in the case of a certificated **[securities] security**, the distinguishing numbers of the **[securities] security**; and
 - (iii) for each person who holds a beneficial interest in the **[securities] security**, the extent of the person's interest in the **[securities] security**, together with that person's-
 - (aa) name and unique identifying number;
 - (bb) business, residential or postal address;
 - (cc) email address if available, unless the person has declined to provide an email address[.];
- (b) a record of each beneficial owner of the company, including the following information of such beneficial owner-
 - (i) the full name, date of birth, identity number (if South African) or passport number and date of birth (if non-South African);
 - (ii) residential and postal address;
 - (iii) email address if available, unless the person has declined to provide an email address;
 - (iv) confirmation as to the scope of participation in and extent of ownership, or effective control of, the company; and
- (c) any such further requirements as determined by the Commission after consultation with the Minister and the Financial Intelligence Centre.”;

d. by the insertion after subregulation (3) of the following subregulation:

“(3A) The securities register must be kept up to date and–

- (a) a company must as soon as practical, but no later than 5 business days after any change to the information listed under subregulation (1) and (2) in its securities register; and
- (b) a company that does not fall within the meaning of an “affected company” must as soon as practical, but no later than 5 business days after receipt of any notification, pursuant to section 56(4)(a) of the Act, as to the change of the information listed under subregulation (3) in its securities register,
update its securities register to reflect the changes to such information.”; and

e. by the substitution of subregulation (4) with the following subregulation:

- “(4) The securities register required to be kept by a company under the Act and this regulation must be kept in such a manner as–
- (a) to provide indexed access to all relevant entries for any one person;
 - (b) to provide adequate precautions against–
 - (i) theft, loss or intentional or accidental damage or destruction; and
 - (ii) falsification; and
 - (c) to facilitate the discovery of any falsification”.

Insertion of Regulation 32A to the Companies Regulations, 2011

5. Regulation 32A is hereby inserted after regulation 32:

“32A Affected company’s register of the disclosure of beneficial interest

See s.56(7)

- (1) An affected company must–
 - (a) establish and maintain a register of persons who hold beneficial interest equal to or in excess of 5% of the total number of securities of that class of securities issued by the company, which register must be in one of the official languages of the Republic and must record the following information regarding each such person–
 - (i) if a natural person, the full name, date of birth, identity number (if South African) or passport number and date of birth (if non-South African);
 - (ii) if a juristic person, the full name and registration number of the juristic person;
 - (iii) the business, residential or postal address;
 - (iii) email address, if available; and
 - (iv) confirmation as to the participation and extent of, whether directly or indirectly, ownership of a company or exercising effective control of such company; and
 - (b) comply with any such further requirements as determined by the Commission after consultation with the Minister and the Financial Intelligence Centre.
- (2) The register contemplated in subregulation (1) of an affected company must be kept up to date and an affected company must as soon as practical, but no later than 5 business days of any notification, pursuant to section 122(1) of the Act, as to the change of the information listed under subregulation (1) in its register of the disclosure of beneficial interest, update that register to reflect the changes to such information.
- (3) The register of the disclosure of beneficial interest required to be kept by an affected company under the Act and this regulation must be kept in such a manner as–
 - (a) to provide indexed access to all relevant entries for any one person;
 - (b) to provide adequate precautions against–
 - (i) theft, loss or intentional or accidental damage or destruction; and

- (ii) falsification; and
 - (c) to facilitate the discovery of any falsification.
 - (4) If an affected company's register of the disclosure of beneficial interest is kept in electronic form, the company must—
 - (a) provide adequate precautions against loss of the records as a result of damage to, or failure of, the media on which the records are kept; and
 - (b) ensure that the records are at all times capable of being retrieved to a readable and printable form, including by converting the records from legacy to later systems, storage media, or software, to the extent necessary from time to time.
 - (5) In so far as the identity number and e-mail address of a person may be entered into a register kept under this regulation, such information may, at the instance of the company be regarded as confidential.
 - (6) Any entry in a register of the disclosure of beneficial interest, pertaining to a person who has ceased to hold beneficial interests equal to or in excess of 5% of the total number of securities of that class of securities issued by the affected company, may be disposed of seven years after that person last held such beneficial interest in the securities of the affected company.”.

Insertion of Regulation 32B to the Companies Regulations, 2011

6. Regulation 32B is hereby inserted after regulation 32A:

“32B Notification to the Commission of change to beneficial owners in securities register

See s.56(12)

- (1) A company that does not fall within the meaning of an “affected company” must file with the Commission the applicable CoR Form, together with a copy of its securities register in such form and manner as prescribed by the Commission, within 5 business days after updating its securities register in accordance with regulation 32(3A).
- (2) The Commission may determine, after consultation with the Minister and the Financial Intelligence Centre, such further requirements and conditions applicable to the notification to the Commission of any change to a beneficial owner and any change to the beneficial interest held by a person in a company that does not fall within the meaning of an “affected company”.

Insertion of Regulation 121A to the Companies Regulations, 2011

7. Regulation 121A is hereby inserted after regulation 121:

“121A Notification to the Commission by an affected company

See s.122(3A)

- (1) An affected company must file with the Commission—
 - (a) a certified copy of the notice received pursuant to section 122(1) of the Act;
 - (b) the completed applicable CoR Form; and

- (c) a certified copy of the of the company's register of the disclosure of beneficial interest, within 5 business days after updating its register of the disclosure of beneficial interest in accordance with regulation 32A(2).
- (2) The Commission may determine, after consultation with the Minister and the Financial Intelligence Centre, such further requirements and conditions applicable to the notification to the Commission of any change to a person who holds beneficial interest equal to or in excess of 5% of the total number of securities of that class of securities issued by an affected company."

Amendment of Table CR 1 of Annexure 1 of the Companies Regulations, 2011

8. Annexure 1 is hereby amended by the substitution thereof with the following Annexure 1:

ANNEXURE 1

Table CR 1 - Prescribed Forms
(in terms of Regulation 5)

- (1) For ease of reference, the Form number corresponds with the number of the relevant regulation.
- (2) Whenever a document is required –
- (a) in terms of a section of the Act or a provision of these regulations as listed in column 1 of this Table; and
- (b) for a purpose listed in column 2,

the document must be substantially in the form of the annexure listed opposite that section number in column 3, and must be produced, delivered or filed as the case may be subject to any conditions or requirements listed opposite that section number in column 4.

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S. 12 (1) R. 9	Application to reserve a company name	CoR 9.1	Must be accompanied by a filing fee of R75 if filed manually, or R50 if filed electronically; and any relevant documentation or evidence required in terms of regulation 8.
S. 12 (4) R. 9	Application for extension of name reservation	CoR 9.2	Must be accompanied by a filing fee of R50 if filed manually, or R30 if filed electronically; and a statement required by in regulation 9(2)(b), and evidence required by regulation 9(2)(c), if applicable.
R. 9(3)(a)	Notice requiring further particulars in respect of name reservation, issued by the Commission	CoR 9.3	
R. 9(3)(b)	Confirming notice of name reservation, issued by the Commission	CoR 9.4	
R. 9(3)(C)	Notice refusing name reservation or defensive registration, issued by the Commission	CoR 9.5	

S. 12 (3)(a) R. 9(4)(a)	Notice of potentially contested name, issued by the Commission	CoR 9.6	
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1 Authority	2 Purpose of Form	3 Form	4 Conditions
S. 12(3)(b) R. 9(4)(b)	Notice by potentially offensive name, issued by Commission	CoR 9.7	
S. 12(9) R. 10(1)	Application for Defensive Name Registration	CoR 10.1	Must be accompanied by a filing fee of R250 if filed manually, or R200 if filed electronically, and evidence of a direct and material interest in the name.
S. 12(9) R. 10(2)	Application for Renewal of Defensive Name Registration	CoR 10.2	Must be accompanied by a filing fee of R50 if filed manually, or R30 if filed electronically, and evidence of a direct and material interest in the name.
S. 12 (5) R. 11	Application to transfer reserved or defensive name	CoR 11.1	Must be accompanied by a filing fee of R100 if filed manually, or R75 if filed electronically, and evidence as required by regulation 11 (1)(b).
S. 12 (5) R. 11	Notice refusing name transfer, issued by the Commission	CoR 11.2	
S. 12 (6) R. 12	Notice alleging reservation system abuse, issued by the Commission	CoR 12.1	
S. 13 (2) R. 14	Notice of Incorporation	CoR 14.1	<p>Payment of a filing fee, subject to a credit—</p> <p>(a) for any amount previously paid to reserve the company's name; or</p> <p>(b) of an amount equal to the fee for name reservation, if the company has chosen to be known by its registration number alone.</p> <p>Must have Memorandum of Incorporation attached.</p> <p>Refer to Annexure 2, Table CR 2B for Incorporation fees.</p>

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S. 13 (4) R. 14(5)	Notice rejecting a Notice of Incorporation, issued by the Commission	CoR 14.2	
S. 14 (1)(b) R. 14(6)	Registration Certificate	CoR 14.3	
S. 13 (1)(a) R. 15(1)	Standard Form Memorandum of Incorporation	CoR 15.1	<p>Refer to Annexure 2, Table CR 2B for Incorporation fees.</p> <p>May be in any of Form A, B, C, D or E as allowed by regulation 15 (1)</p>

S. 15 (1)(b) R 15 (2)	Notice of Amendment to the Memorandum of Incorporation	CoR 15.2	<p>Payment of a filing fee, unless it is the first such filing by a pre-existing company, as contemplated in Schedule 5, item 4(2).</p> <p>Must be accompanied by either the Special Resolution of the company setting out-</p> <ul style="list-style-type: none"> a) the amendment to the Memorandum of Incorporation, or b) copy of the complete Memorandum of Incorporation, as amended. <p>Payment of a filing fee of R250.</p>
17 (1)(a) R.15(5)	Notice of Alteration of Memorandum of Incorporation	CoR15.3	Payment of a filing fee of R250-
S. 17(4) R. 15(6)	Notice of Translation of Memorandum of Incorporation	CoR15.4	<p>Payment of filing fee of R250.</p> <p>Must be accompanied by a copy of the translated Memorandum of Incorporation, and a sworn statement, as required by section 17(4).</p>

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S. 17 (6) R. 15 (7)	Notice of Consolidation of Memorandum of Incorporation	CoR 15.5	<p>Payment of R 250 fee.</p> <p>Must be accompanied by the consolidated revision of the Memorandum of Incorporation, together with a sworn statement, or a statement of an attorney or notary public, as required by section 17 (6).</p>
S. 17 R. 15(8)	Notice to consolidate the Memorandum of Incorporation, to be issued by Commission	CoR 15.6	
S. 15 (3)-(5) R. 16 (1)	Notice concerning company rules	CoR 16.1	Payment of a filing fee of R100.
S. 15 (3)-(5) R. 16 (2)	Notice of result of vote on company rules	CoR 16.2	Payment of a filing fee of R100.
5.13 (5) R. 17	Application to transfer registration of foreign company	CoR 17.1	Must be accompanied by R400 fee and all materials listed in regulation 17.
S. 13 (6)-(7) R. 17 (2)	Notice requiring further particulars of foreign company	CoR 17.2	
S. 13 (6)-(7) R. 17 (2)	Registration Certificate of domesticated company	CoR 17.3	
S. 13 (6)-(7) F. 17 (3)	Notice of Refusal to transfer registration of a foreign company	CoR. 17.4	
Schedule 2 R.18	Application to convert close corporation	CoR 18.1	Must be accompanied by a filing fee, the Memorandum of Incorporation, and the consents required by regulation 18(1)(a). Refer to Annexure 2, Table CR 2B for fees related to Incorporation.

Schedule 2 R.18	Notice Requiring Further Particulars of conversion of close corporation	CoR 18.2	
Schedule 2 R.18	Registration Certificate	CoR 18.3	
S. 22 R. 19	Notice to show cause regarding reckless trading or trading under insolvent circumstances, to be issued by the Commission	CoR 19.1	
S. 22 R. 19	Confirmation notice	CoR 19.2	

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S.23(3) R. 20	Notice of Registration of External Company	CoR 20.1	Payment of R400 filing fee. Must be accompanied by a copy of the certificate of registration or comparable document issued by the jurisdiction within which the company was incorporated, and other items required by regulation 20.
S. 23 R.20	Registration certificate of External Company	CoR 20.2	
S. 23(3)(ii) R. 21	Notice of change of Registered Office	CoR 21.1	The prescribed fee is Nil.
S. 23 R. 20	Notice of change of particulars of person to accept service	CoR 21.2	The prescribed fee is Nil.
S. 25 R. 22	Notice of Location of Company Records	CoR 22	To be filed only if company records are not kept at its registered office.
S. 26 R. 24	Request for Access to company information	CoR 24	
S. 27(4) R. 25	Notice of Change to Financial year end	CoR 25	Payment of a filing fee of R100.
S. 33 R. 30	Annual return	CoR 30.1	Refer to Annexure 2, Table CR 2B for fees related to Annual Returns.
S. 33 R. 30(4)	Financial Accountability Supplement to Annual Return	CoR30.2	To be filed only by companies that do not file audited or independently reviewed annual financial statements.
S. 33 R. 30(7)	Annual return for External companies	CoR 30.3	Refer to Annexure 2, Table CR 2B for fees related to Annual Returns.
Schedule 5 Item 6 R. 31	Notice of Board Resolution to convert par value shares	CoR 31	No fee to be charged.
S. 56(12) R.32	Notice of Change of Natural Persons who are Beneficial Owners	CoR32B	No fee to be charged.
S. 21 R. 35	Notice of Pre-incorporation contract	CoR 35.1	
S. 21 R. 35	Notice of action concerning Pre-Incorporation contract	CoR 35.2	

Various Sections R. 36	General security holder notice of company and proxy form	CoR 36.1	Not to be filed with commission.
Various Section[s] R. 36	General company notice to security holders	CoR 36.2	Not to be filed with commission.
R. 36 (3)	General company notice to holders of beneficial interest	CoR 36.3	Not to be filed with commission.

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S. 75 R. 36	Notice of directors personal financial interest	CoR 36.4	Not to filed with commission
S. 70 (6) R. 39	Notice of Change of company and external company Directors	CoR 39	Prescribed fee is Nil.
S.80 to 82 R. 40	Notice of special resolution to wind up solvent company	CoR 40.1	Payment of R250 filing fee.
S.80 to 82 R. 40	Notice of foreign registration of Company	CoR 40.2	Payment of R250 firing fee.
S.80 to 82 R. 40	Demand notice concerning inactive company or external company, to be issued by Commission	CoR 40.3	
S.80 to 82 R. 40	Notice of pending de-registration of company or external company, to be issued by Commission	CoR 40.4	
S.80 to 82 R.40	Application for re-instatement of de-registered company or external company	CoR 40.5	Payment of R200 fee.
S.84 (6), R.50(12) R. 44	Notice of change of auditor or company officials	CoR 44	
s. 97 (2) R.46	Notice of Employee Share Scheme	CoR 46.1	
s. 97 (2) R. 46	Annual certificate of Employee Shares Scheme	CoR 46.2	
s. 99 (7) R. 46	Application concerning rights offer exclusion	CoR 46.3	Payment of R100 filing fee.
s. 99 R. 46	Registration of Prospectus or Letter of Allocation	CoR 46.4	Must have prospectus appended. Refer to Annexure 2, Table CR 2B.for fees.
s. 99 R. 46	Registration Certificate of Prospectus or Letter of Allocation Allocation	CoR 46.5	
S. 99 R. 46	Application to exclude information from Prospectus	CoR 46.6	Payment of R300 filing fee.

5.116(3) R89	Notice of Amalgamation or Merger	CoR 89	Payment of R250 filing fee, plus ancillary fees for any registration of new company, or de-registration of existing company.
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1 Authority	2 Purpose of Form	3 Form	4 Conditions
R. 84	Declaration of coming into or out of concert	TRP 84	To be filed with the Panel
R 98	Notice of disclosure of dealings in securities	TRP 98	To be filed with the Panel
S 122 (1) R 121	Notice of disclosure of acquisition or disposal of securities	TRP 121.1	
S 122 (3) R 121	Notice of acquisition or disposal of securities	TRP 121.2	To be filed with the Panel
S122(3A) R. 121A	Notice of Change of Significant Beneficial Owners	CoR121A	No fee to be charged.
S. 129, 131 R.123	Notice of beginning of Business Rescue Proceedings	CoR 123.1	
S.129(7) R. 123 (3)	Notice of appointment of Business Rescue Practitioner	CoR 123.2	
S. 129(7) R. 123 (5)	Notice of decision not to begin business rescue proceedings	CoR 123.3	
s. 132, 141 R. 125	Notice of Business Rescue Status	CoR 125.1	
125 (4)	Notice of Termination of Business Rescue Proceedings	CoR 125.2	
R 125 (5)	Notice of Substantial Implementation of a Business Rescue Plan	CoR 125.3	
S. 138 R. 126	Application for Business Rescue Practitioners licence	CoR 126.1	Payment of R500 application fee
S. 138 R. 126	Certificate of Business Rescue Practitioner License	CoR 126.2	

1 Authority	2 Purpose of Form	3 Form	4 Conditions
S 166 R 132	Application for ADR	CTR 132.1	
S 166 R 132	Referral for ADR	CTR 132.2	
S 166 R 132	Certificate of failed ADR	CTR 132.3	

s. 166 R 134	Application for accreditation (as ADR provider)	CoR 134.1	Payment of R500 application fee.
s. 166 P 134	Registration certificate as ADR provider	CoR 134.2	
s. 168 R. 135	Complaint to Commission	CoR 135.1	
S. 169 R. 135	Commission Notice of Non-investigation	CoR 135.2	
R 137	Commission Notice to Investigate	CoR 137.1	
R 137	Commission Summons	CoR 137.2	
R 137	Commission request for additional information	CoR 137.3	
R 137	Commission Demand for corrected information	CoR 137.4	
R 138	Consent to Order	CoR 138	
R 139	Compliance Notice	CoR 139.1	
R 139	Compliance Certificate	CoR 139.2	
R 140	Referral by Commission or Panel to another regulator	CoR 140.1	
R 140	Commission Notice of Non-referral	CoR 140.2	
R 140	Commission referral to Tribunal	CTR 140	
R 142	Application to Tribunal	CTR 142	
R 145	Notice of Motion	CTR 145	
R 147	Request for Condonation	CTR 147	
R 148	Notice of Withdrawal	CTR 148	
R 151	Tribunal Notice of Hearing	CFR 151	

1 Authority	2 Purpose of Form	3 Form	4 Conditions
R 160	Tribunal Summons	CTR 160	
R 168 (6)	Notice challenging filed information	CTR 168	
S 9 R 188	Request for particulars regarding requested exemption	CoR 178	

Short title and commencement

9. These Regulations are called the Companies Amendment Regulations, 2023, and shall come into effect on a date determined in the Government Gazette.

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