

# CURRICULUM VITAE

## GRETA MARITZ

### Personal Information

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Nationality : South African  
Languages : English and Afrikaans

### Professional Memberships

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Compliance Institute of SA (not current)  
Law Society of the Northern Provinces (not current)

### Professional Qualifications

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**COMPLIANCE INSTITUTE OF SA**  
Certified Compliance Professional (2003)

**SECURITIES INSTITUTE, UK**  
International Capital Markets Qualification (2001)

**BOND EXCHANGE OF SOUTH AFRICA**  
Compliance Officer (1998)

**SOUTH AFRICAN FUTURES EXCHANGE**  
Compliance Officer (1997)

**TRANSVAAL PROVINCIAL DIVISION**  
Attorney (1989) and Notary (1990)(non-practising)

**FINANCIAL SECTOR CONDUCT AUTHORITY**  
Compliance Officer CO 325 (2003)

### Education

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**FINANCIAL SECTOR CONDUCT AUTHORITY**  
REGULATORY EXAMINATION FOR KEY INDIVIDUALS (RE 1) (2016)  
REGULATORY EXAMINATION FOR KEY INDIVIDUALS CATEGORY II FSPS (RE 3)  
(2016)

**SECURITIES INSTITUTE, UK**

International Capital Markets Qualification (2001)  
 International Fixed Interest and Bond Markets (2001)  
 South African Regulatory Module (2001)

**RAND AFRIKAANS UNIVERSITY (UNIVERSITY OF JOHANNESBURG)**

LLM (Banking and Exchange Law) (1992 - 1993)

H Dip Tax (1990 – 1991)

**UNIVERSITY OF STELLENBOSCH**

LLB (1984 - 1986)

BA(Law) (1980-1983)

**HOËRSKOOL LINDEN**

Matric (1979)

**Career Overview**

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**FINANCIAL SERVICES COMPLIANCE CC t/a COMPLIANCE CONSULTING**

May 2003 to date

- Compliance and Regulatory Risk Management & Advisory Services to Financial services Providers
- Compliance Outsourcing
- Regulatory Assistance
- Liaison with FSCA and other regulators
- Compliance Reviews
- Compliance Documentation
- Compliance Training.

**HSBC INVESTMENT SERVICES (AFRICA) GROUP**

August 2000 - April 2003: Director, Head of Compliance (incl. Legal & Internal Audit), which responsibilities included:

- Area Compliance Officer – Africa: HSBC plc Group
- Local Compliance Officer – South Africa and Namibia
- Money Laundering Control Officer: HSBC plc Group
- JSE Securities Exchange of South Africa compliance
- Registered SAFEX (Derivatives Division of the JSE) Compliance Officer
- Registered Bond Exchange of South Africa Compliance Officer
- Registered Financial Services Board Compliance Officer
- Audit Committee membership
- Risk Management Committees membership

- Reporting to HSBC plc Group, UK
- Reporting to senior management
- All Compliance Officer activities
- Legal & Internal Audit functions
- Business areas included stock broking, wealth management, asset/investment management and corporate finance.

### **NEDCOR LIMITED GROUP**

July 1999 - July 2000: Group Chief Compliance Officer, which responsibilities included:

- Implementing a Nedcor Group compliance function
- Implementing a Nedcor Group Compliance Plan involving subsidiaries e.g. Cape of Good Hope Bank Limited and NIB, as well as off-shore business including Hong Kong, London and Mauritius
- Representing Group Compliance at strategic Mancos, EXCO, OPCOS and Group Audit Committee
- Interacting with holding company, Mutual plc
- All Compliance Officer activities
- Consulting across Nedcor Group to management on strategic issues.

### **NEDCOR BANK LIMITED**

January 1999 - June 1999: Chief Compliance Officer

July 1997 -December 1998: Chief Compliance Officer, Treasury Division

- Responsibilities included all activities of a Compliance Officer.

December 1991 – July 1997: Legal Advisor, Corporate & International, which responsibilities included:

- Servicing AAA clients of the Corporate, Credit, International, International Financial Institutions and Relationship Divisions
- Legal Advisor specially designated to the Treasury Division and responsible for all their legal requirements including OTC derivatives (ISDA, ISMA and IFEMA master agreements).

### **ATTORNEYS WEBBER WENTZEL**

February 1989 – November 1991: Attorney, Corporate Services Department

November 1987 – January 1989: Articled Clerk

### **ATTORNEYS DE KLERK & LE ROUX**

February 1987 – October 1987: Articled Clerk

**DEPARTMENT OF JUSTICE**

August 1986 – January 1987: Public Prosecutor

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