

## **FINANCIAL SERVICES BOARD**



### **FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 (“FAIS ACT”)**

#### **FAIS Notification**

**DATE: 30 April 2013**

#### **Notification about the various events to be hosted by the FAIS Division during 2013**

The Office of the Registrar of Financial Services Providers is pleased to announce the various communication events that will be hosted by the FAIS Division between June and December 2013. The events are aimed at FSPs, key individuals, compliance officers and representatives.

#### **Venues:**

Please check the venues for the events, different events will be delivered using face-to-face and satellite communications.

#### **Bookings**

You can book in one of two ways:

1. Access the website and book on our electronic booking system – [www.fsb.co.za](http://www.fsb.co.za)
2. Contact the FSB call centre and ask them to book for you

You can contact the call centre on 0800110443/ 0800202087, Monday to Friday between 08:00 to 17:00.

## Cancellations & non-attendance

1. Should you be unable to attend an event you booked for, please remember to cancel your attendance.
2. You can cancel on the website or via the call centre.

Please note that due to the high demand for this type of event, non-attendance without cancellation will mean that you will not be able to book for a FAIS event for a period of 12 months. We will enforce this measure as we have noted that people do not attend events they booked for, and their non-cancellations meant that the seat was not available for someone else to use.

## Costs:

Remember it is pointed out that attendance of our events is **free**. You are however responsible for your own travel and accommodation costs, should that be necessary.

## Programme of events for 2013:

Date	Target/ Main Focus	Topics	Venue	Time
19-Jun 2013	FSPs with long-term and short-term insurance	Various aspects important to the industry, including second hand policies, cell captives and binder agreements.	Satellite – see list of venues	9 - 12
24-Jun 2013	FSPs with long-term and short-term insurance	Various aspects important to the industry, including second hand policies, cell captives and binder agreements.	FSB Offices, Pretoria	9 - 1
02-Jul 2013	Asset consultants	General issues of importance to industry, including retirement funds consultants	FSB Offices, Pretoria	9 - 1
08-Jul 2013	Investments workshop - Cat II & IIA	Unregistered investments, due diligence, reporting ; future of financial planning in SA, planning for income post retirement; savings in SA, Hedge funds	FSB Offices, Pretoria	9 - 1
09-July 2013	Non-financial services FSPs	Premium collections, suitability analysis, disclosures, exemptions, regulatory exams, conflict of interest, operational ability, financial soundness	Satellite – see list of venues	9 - 12

<b>Date</b>	<b>Target/ Main Focus</b>	<b>Topics</b>	<b>Venue</b>	<b>Time</b>
15-July 2013	Independent Financial Advisers	Unregistered investments, due diligence, reporting ;suitability analysis, disclosures	FSB Offices, Pretoria	9 - 1
06-Aug 2013	All FSPs	Maintaining a license; regulatory action, debarments, business practices, RMP, registers, records, CMS approvals	FSB Offices, Pretoria	9 - 1
28-Aug 2013	Independent Financial Advisers	Unregistered investments, due diligence, reporting ;suitability analysis, disclosures	Satellite – see list of venues	9 - 12
03-Sep 2013	All FSPS	Maintaining a license; regulatory action, debarments, business practices, RMP, registers, records; CMS approvals	Satellite – see list of venues	9 - 12
18 Sept 2013	Administrators, including Lisps	In-depth discussion workshop for the amendment to the Administrative Code of Conduct	FSB Offices, Pretoria	9 - 1
02-Oct 2013	Investments workshop – Cat II and IIA	Unregistered investments, due diligence, reporting ; future of financial planning in SA, planning for income post retirement; savings in SA - what are the challenges for the advisor and the client?	Cape Town - TBA	9 - 1
03-Oct 2013	Investments workshop - All categories	Unregistered investments, due diligence, reporting ; future of financial planning in SA, planning for income post retirement;	Satellite – see list of venues	9 - 12
12-Nov 2013	All Compliance officers – internal & external	Operational ability of compliance officers, monitoring duties & monitoring reports, misrepresentation in annual compliance reports, risk management framework, services under supervision, handover reports.	FSB Offices, Pretoria	9 - 1
14 Nov 2013	Annual Conference	Savings in SA - what are the challenges for the advisor and the client? Regulatory updates & changes	TBA Pretoria	8:30 - 4
20 Nov	Treating Customers Fairly (TCF)	How will TCF affect FSPs? Discussion about the outcomes, self-assessment tools	Satellite – see list of venues	9 - 12
25-Nov 2013	FIC issues – all accountable institutions	KYC on legal persons, reporting obligations, training of staff, customisation of policies & procedures, identifying suspicious or unusual	FSB Offices, Pretoria	9 – 1

<b>Date</b>	<b>Target/ Main Focus</b>	<b>Topics</b>	<b>Venue</b>	<b>Time</b>
		transactions. Mitigating the risk of money laundering, new legislative requirements		
27-Nov 2013	All Compliance officers – internal & external	Operational ability of compliance officers, monitoring duties & monitoring reports, misrepresentation in annual compliance reports, risk management framework, services under supervision, handover reports.	Satellite – see list of venues	9 - 12
03-Dec 2013	TCF - all FSPs	How will TCF affect FSPs? Discussion about the outcomes, self-assessment tools	Satellite – see list of venues	9 - 12
4 Dec 2013	FIC issues – all accountable institutions	KYC on legal persons, reporting obligations, training of staff, customisation of policies & procedures, identifying suspicious or unusual transactions. Mitigating the risk of money laundering, new legislative requirements	Satellite – see list of venues	9 - 12

### **Satellite venues:**

<b>Venue Address</b>	<b>City</b>	<b>Venue Manager</b>
13 Amaway Centre Main Road, Ground floor (Opposite Caltex Garage) Amalinda	East London	Trevor Inskip 079 699 0126
NG Church PE-East Cnr Mitchell and Walmer Boulevard (Parking Entrance: 42 Mitchell Street) South-End Port Elizabeth	Port Elizabeth	Nelia Peters 079 699 0130
Medovs Building (The Avalon Group) Boardroom Cnr Victoria and Harris Street Willows Bloemfontein	Bloemfontein	William Britz 079 699 0077
The Bright Water Commons Republic Street Shop 99	Randburg	Thapelo Mogale 079 699 0172
Brooklyn Theatre Cnr Thomas Edison and 13th Avenue Greenlyn Village Menlopark	Brooklyn	Rebecca Kgosiemang 079 699 0134
Embury Institute for Teacher Education	Durban	Martin Snyman 079 699

<b>Venue Address</b>	<b>City</b>	<b>Venue Manager</b>
Embury House 119 Lilian Ngoyi Road Ground Floor Morningside		0088
Telematic Learning Centre 33 Samora Machel Drive Glenrand Building 2nd Floor (Drive form Absa Square to Shoprite in Samora Machel Drive. Building opposite Shoprite entrance. Entrance next to Hoofweg Butchery.)	Nelspruit	Ella Steyl 079 699 0121
Town Square Building C/o Church & Bhimy Damane Street, Room 21	Middelburg	Hennie Schoeman 079 699 0118
West End Building 51 Leask Street C/o Leask Str + Kock + Siddle (Enter Leask or Siddle Str or day parking at Siddle Str) Room 308, 3rd Floor	Klerksdorp	Eileen Mans 079 699 0114
NG Church Mafikeng Cnr Nelson Mandela and Martin Street	Mafikeng	Thapelo Ntoagae 079 699 0137
Bongiwe Conference Centre 77 Dorp Street	Polokwane	Emmanuel Greyling 079 699 0142
25 Villiers Street KIDJA (Kimberley Institute for Diamond and Jewellery Academy)	Kimberley	Doreen (Liz) Kwon Hoo 079 699 0145 079 699 0144
Roman Catholic Church Vaal University of Technology Le Roux Street	Upington	Wendell Adams 079 699 0167 079 699 0168
Stellenbosch University Bellville Park Campus Carl Cronje Drive Van Der Horst Building Bellville Park Campus Room 102	Bellville	Fred Rheeder 079 699 0063
Stellenbosch University Tygerberg Campus Fransie van Zijl Rd Fisan building Room F334	Tygerberg Kampus	Given Nkuna 079 699 0175
Shamrock Place 97 York Street Ground Floor Room 17	George	Lappies Labuschagne 079 699 0102
Administration A Building Telematic Services Van Ryneveld Street, Stellenbosch Entrance left of Admin A main entrance Room 1070 University of Stellenbosch	Stellenbosch	Douglas Davis 079 699 0146
Ukwanda Rural Clinical School 1 Durban Street	Worcester	Amanda van den Bergh 079 699 0170