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FAIS FIT AND PROPER INFORMATION GUIDE

1 Regulatory Exam Level 1 within 2 years of date of appointment in a regulatory role; 2 Full Qualification (as recognized by the FSB) within 5 years of date of appointment in a regulatory role; and 3 Regulatory Exam Level 2 within 6 years of date of appointment in a regulatory role

SECTION 1: FIRST LEVEL REGULATORY EXAMINATION: FSPs ...

FSPs (sole proprietors) and Key Individuals in categories I, II, IIA, III and IV (Exam 1) MODE OF DELIVERY: DISTANCE LEARNING DESCRIPTION From 2010, the Financial Services Board (FSB) has conducted the first level Regulatory Examinations (RE) in terms of ...

Preparation guide Regulatory examinations Level 1 ...

Preparation guide Regulatory examinations Level 1 6 Example of analysis question 34 Layout of the examination (complexity) As the purpose of the level 1 regulatory examination is to ensure that financial advisors and representatives understand their regulatory ...

STEP BY STEP GUIDE TO FAIS - Investor Campus

Regulatory Exam Level 1 within 2 years of date of appointment in a regulatory role FAIS Credits vs Regulatory Exams Credits -The Act states that all financial advisors and intermediaries to meet FSB has not committed to any timeline to conclude their review)

SECTION 1: FIRST LEVEL REGULATORY EXAMINATION: and ...

From 2010, the Financial Services Board (FSB) has conducted the first level Regulatory Examinations (RE) in terms of the Fit and Proper regulations of the FAIS Act All financial services providers, representatives and key individuals are impacted by these examinations, which are conducted by approved examining bodies Milpark

FAIS UPDATE WEBSITE. - Academy of Learning, Delmas

FAIS UPDATE 1 What are the FAIS Requirements? With the release of the Fit and Proper Requirements on the 15th of October 2008 the FSB released the FAIS Fit and Proper Requirements These requirements are as follows: STEP 1 Approved between 2004 and 2007: 30 credit Skills Programme at NQF Level 4 by 31 December 2009

Preparation Guide Examinations RE3 PREPARATION GUIDE ...

The material in this PREPARATION GUIDE FOR LEVEL 1 REGULATORY EXAMINATIONS The availability of this material is not an endorsement by the FSB of the material and not an indication of the FSB's commitment to any particular course of action ¾ The FAIS Act

FINANCIAL SERVICES BOARD Financial advisory and ...

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES (FAIS) Registration Level 1 regulatory examinations continued We have SUPPLEMENTARY REPORT 2014 Financial advisory and intermediary services (FAIS) 16 In contrast to resistance and scepticism during the roll-out

PREPARATION GUIDE FOR LEVEL 1 REGULATORY ...

Regulatory examinations Level 1 03 December 2015 - Version 5 2 1 DISCLAIMER The material in this PREPARATION GUIDE FOR LEVEL 1 REGULATORY EXAMINATIONS (RE 1 AND RE 5) and APPENDIX A is made available for the purpose of providing preparation guidelines and not as professional or educational advice

FINANCIAL SERVICES BOARD - FPI

FINANCIAL SERVICES BOARD FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 ("FAIS ACT") FAIS CIRCULAR 9/2010 DATE: 5 November 2010 Circular on Preparation for the First Level Regulatory Examinations The first level regulatory examinations (RE 1 and RE 5) are now available, and in order to complete these

FAIS NEWSLETTER - FSCA

The level 1 regulatory examinations were available in English when they were rolled out in November 2010 During 2011 an application was made to the Equality Court for the Exam to be made available in Afrikaans The FSB proceeded with an in-depth investigation regarding the viability of Afrikaans examinations, and the implications of

FINANCIAL SERVICES BOARD FINANCIAL ADVISORY AND ...

1 | Page FINANCIAL SERVICES BOARD FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, NO 37 OF 2002 FAIS INFORMATION CIRCULAR 03/2014 DATE: 20 MARCH 2014 LEVEL 1 REGULATORY EXAMINATIONS: TRANSITIONAL ARRANGEMENTS IN amended FAIS Act on the level 1 regulatory examinations and the timeframe

Applicable for Examinations as from 1 February 2019

understand their regulatory role and responsibilities, the emphasis was placed on the "comprehension" or understanding and application of the legislation The layout of the RE 1: FSPs and Key Individuals in all Categories of FSPs Level 1 questions 27% 21 Questions Level 2 questions 39% 32 Questions Level 3 questions 22% 18 Questions

2016 Regulatory Briefing FAIS LICENSING

2016 Regulatory Briefing FAIS LICENSING Richard Flett October 2016 Existing FAIS Exemptions Cat Exemption New Expiration Date FSB Notice Registration Required I & II Level 1 regulatory exams No expiry (tbd by Registrar) BN102 of 2012 Yes II S5(1)(c) - Existing fund "mandate" must contain a statement on risk

Regulatory Examinations Preparation FSPs (Sole Proprietors ...

Investor Campus – FAIS: Regulatory Exams The Financial Services Board (FSB) is an independent institution established by law to oversee the South African non-banking financial services industry in the public interest Financial Services Providers (FSPs) are the financial institutions, insurance

The Financial Advisory and Intermediary Services (FAIS) Act

The Financial Advisory and Intermediary Services (FAIS) Act 61 The Aim of the FAIS Legislation It is important to bear in mind, when seeing FAIS in context with other pieces of legislation, that what it really creates or aims to create is a formal system of regulating financial advisors and intermediaries

FAIS NEWSLETTER - Masthead

The level 1 regulatory examinations are an important part of the competency requirements for Financial Services Providers (FSPs), its key individuals and its representatives As a result, it is important to register for the level 1 examinations in good time to ensure compliance with this requirement by the applicable deadline

FSB REGULATORY EXAMINATION PREPARATION © INSETA

OF THE FAIS ACT 1 11 The purpose of the Financial Advisory and Intermediary Services Act, 37 of 2002 2 12 The roles, responsibilities and requirements regarding represent- tatives in terms of FAIS 6 13 The requirements for licensing by the FSB for the role of the repre- sentative 10

Continuing Payroll Problem Answers

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