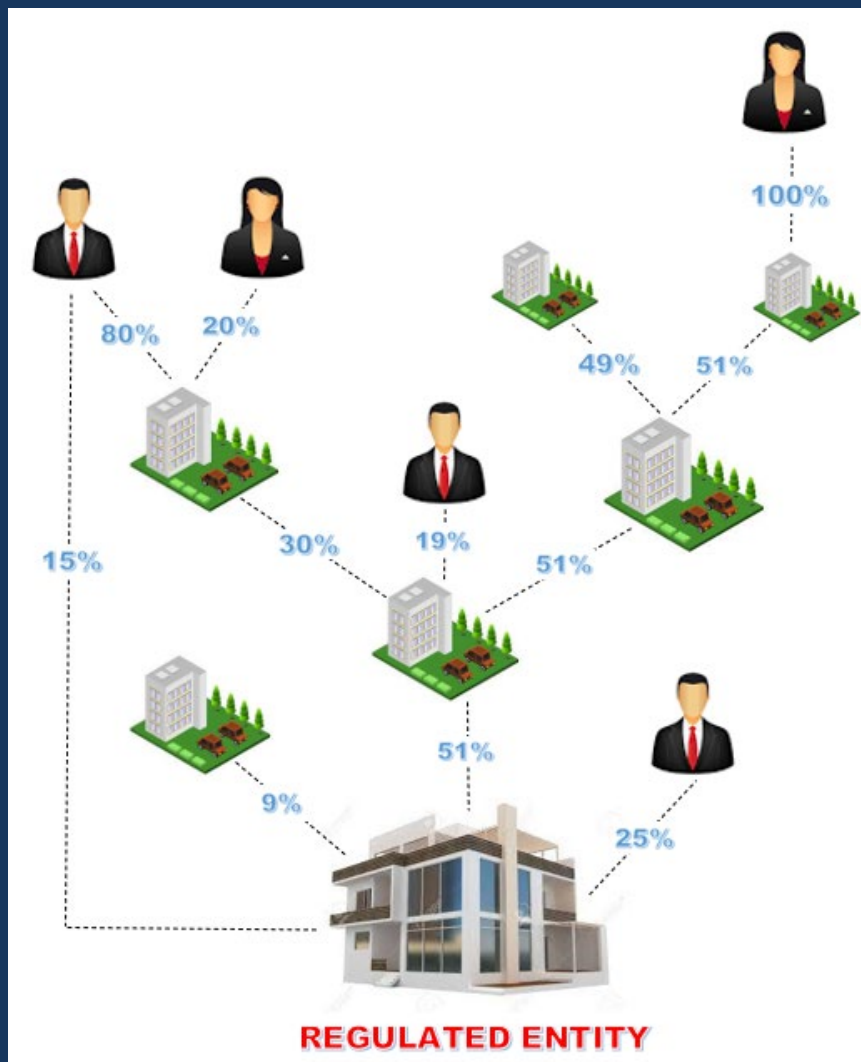


User Guide

BENEFICIAL OWNERSHIP (BO)

INFORMATION

FAIS



1. Purpose of the user guide

The purpose of the user guide is to assist impacted financial institutions (Users) to complete the beneficial ownership information outlined in the FSCA Information Request 6 of 2022 on the E-Portals.

2. Process

Please note that only the approved Key Individual (KI) or the linked Compliance Officer (CO) of an FSP can login/register to use the FAIS E-Portal to submit the BO information.

The following is a step-by-step process that Users should follow when completing information on the E-Portals:

User guide

The user guide on how to complete the collection of the BO information can be accessed on the logon page of the FAIS E-Portal and the main screen of the BO information.

The screen below shows you where you can find the user guide on the logon page.

Please Logon

Click here to download the FAIS online system user guide

Click here to download the FAIS Beneficial Ownership Information user guide

ID Number	<input type="text"/>
Password	<input type="password"/>
	<input type="button" value="Logon"/> <input type="button" value="Register"/> <input type="button" value="Forgot Password"/>

2.1 Registered Users

Go to the FSCA website www.fsca.co.za

Select

- >> Regulated Entities
- >> E-Services
- >> FAIS
- >> FAIS E-portal or
- alternatively, you can click on the link below that will take you to the log-on page:
- https://www.fsca.co.za/MagicScripts/mgrqispi.dll?APPNAME=Web&PRGNAME=Logon_New

Please Logon

[Click here to download the FAIS online system user guide](#)

[Click here to download the FAIS Beneficial Ownership Information user guide](#)

ID Number

Password

2.2 Unregistered Users

If a User is not registered on the FAIS E-Portal, the same steps outlined under Registered Users must be followed. Users will then be directed to the screen below:

Please Logon

[Click here to download the FAIS online system user guide](#)

[Click here to download the FAIS Beneficial Ownership Information user guide](#)

ID Number

Password

- Click on “Register” and a password will be sent to the e-mail address linked to the approved KI or CO of the FSP.

2.3 Capturing of BO Information

Once logged in the Beneficial Ownership radio button will be at the bottom of the menu. Select the Beneficial Ownership radio button and click “submit”.

Name: TEST TEST TEST

FSP: TEST WITHOUT CO

- Compliance Reports
- Query FSP Detail
- Financial Statements
- Capture Liquidity Calculation for Cat II, IIA and III
- Annexure 6 Form A: Liquidity Calculation for Cat II, IIA and III
- Early Warning Notification
- Extension Request for Financial statements
- Update Contact Details
- Profile Changes
- Handover Report
- Irregularity Report
- Debarment
- Request Representative Register
- Search ID for Date of First Appointment (DOFA)
- Assets under Management (As at 30 June)
- Maintain Representative Register
- Maintain Representative Import users
- Maintain Intermediaries
- Maintain additional Online Users
- Regulatory Exams Certificates
- 3rd Party Storage Questionnaire
- Beneficial Ownership

[Submit](#) [Change Password](#) [Logout](#)

3. Direct Ownership Information

3.1 The User will be directed to the screen below for capturing direct ownership information by clicking the “New Ownership Record On This Level” button. The User can also access the user guide at the top of this page.

BENEFICIAL OWNERSHIP

[Click here to download the FAIS Beneficial Ownership Information user guide](#)

Regulated Entity

FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Ownership Records						
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %
New Ownership Record On This Level		Back				

3.2 The User will then be directed to the screen below (type of legal entity)

BENEFICIAL OWNERSHIP

Regulated Entity

FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	<input type="text" value="Please Select A Legal Entity"/>
Name *	<input type="text"/>
Surname *	<input type="text"/>
Identity Type *	<input type="text"/>

Please Select A Legal Entity

- CLOSE CORPORATION
- COMPANY
- COOPERATIVE
- NATURAL PERSON
- PARTNERSHIP
- TRUST
- UNION

Fields marked with * are compulsory.

[Submit New Input](#) [Back](#)

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*****Note:** The information to be captured on the screen above is on the first level. After capturing all the direct ownership information on this level, you will then be able to capture Beneficial Ownership information on the “Next Ownership Level”. Take note of the exclusions below.

Next Ownership Level button disabled for the following reasons:
1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.
2. Total Ownership % on this level may not exceed 100%.
3. The entity is a FSCA Regulated Entity and no further action required.
4. The entity is a Natural Person and no further action required.
5. The entity is a State-Owned Company and no further action required.

3.3 Below are examples of the screens that will appear based on your selection of the legal entity outlined in 3.2:

a) Close Corporation

BENEFICIAL OWNERSHIP

Regulated Entity

FSP No. and Name	2	TEST WITHOUT CO
Registration Number		1999/012177/081111
Legal Entity		COMPANY

Legal Entity *	CLOSE CORPORATION ▼
Entity Name *	<input style="width: 90%;" type="text"/>
Identity Type *	Company Registration Number ▼
Company Registration Number(CIPC) *	<input style="width: 80%;" type="text"/> <small>yyyy/bxxxxxx/bx e.g. 2006/161509/23></small>
Ownership Percentage *	<input style="width: 15%;" type="text"/> e.g. 80.51
Ownership Obtained Date *	<input style="width: 40%;" type="text"/> <input style="width: 50px; height: 20px;" type="calendar"/>
Jurisdiction *	Please Select A Jurisdiction ▼

Fields marked with * are compulsory.

Submit New Input
Back

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b) Company

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	COMPANY
Entity Name *	
Type of Company *	Please Select A Type of Company
Identity Type *	Company Registration Number
Company Registration Number(CIPC) *	<input type="text"/> yyyy/xxxxxx/xx e.g. 2006/161509/23>
Ownership Percentage *	<input type="text"/> e.g. 80.51
Ownership Obtained Date *	<input type="text"/>
Jurisdiction *	Please Select A Jurisdiction

Fields marked with * are compulsory.

Submit New Input

Back

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c) Cooperative

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	COOPERATIVE
Entity Name *	
Identity Type *	Company Registration Number
Company Registration Number(CIPC) *	<input type="text"/> yyyy/xxxxxx/xx e.g. 2006/161509/23>
Ownership Percentage *	<input type="text"/> e.g. 80.51
Ownership Obtained Date *	<input type="text"/>
Jurisdiction *	Please Select A Jurisdiction

Fields marked with * are compulsory.

Submit New Input

Back

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d) Natural Person

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	NATURAL PERSON
Name *	
Surname *	
Identity Type *	Please Select An Identity Type
Company Registration Number(CIPC) *	yyyy/xxxxxx/xx e.g. 2006/161509/23>
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Cell Phone No.	e.g. +27 82 5566200 (Country code / Area code / Number)
Email Address	
Nationality *	Please Select A Nationality
Country of Residence *	Please Select A Country of Residence
Politically Exposed Person? *	

Fields marked with * are compulsory.

[Submit New Input](#) [Back](#)

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e) Partnership

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	PARTNERSHIP
Entity Name *	
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with * are compulsory.

[Submit New Input](#) [Back](#)

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f) Trust

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	TRUST
Entity Name *	
Identity Type *	Trust Registration Number
Trust Registration Number *	
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with * are compulsory.

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g) Union

BENEFICIAL OWNERSHIP

Regulated Entity	
FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/012177/081111
Legal Entity	COMPANY

Legal Entity *	UNION
Entity Name *	
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with * are compulsory.

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3.4 The following screen will be displayed after the user has captured the required direct ownership information:

Confirmation

Please confirm that the Regulated Entity ownership information captured is correct

Ownership Records

						TOTAL OWNERSHIP %			
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %			
TEST 1223	Company Registration Number	1997/345067/78	COMPANY	SHAREHOLDER	PRIVATE COMPANY	20.00	Update Record	Delete Record	Next Ownership Level
ABC	Company Registration Number	1998/678005/89	CLOSE CORPORATION	SHAREHOLDER		5.00	Update Record	Delete Record	Next Ownership Level
						TOTAL OWNERSHIP %	25.00		

[New Ownership Record On This Level](#) [Back](#)

Next Ownership Level button disabled for the following reasons:

1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.

*****Note:** If the direct ownership information has been captured and the “Next Ownership Level” is still disabled you can only continue once you have confirmed that the information on this level is completed by checking the confirmation checkbox above. Take note of point no.1 under “Next Ownership Level button disabled for the following reasons”.

3.5 The User can update or delete any information captured.

4. Updating BO information

4.1 To update a record click on “Update Record”

BENEFICIAL OWNERSHIP

Regulated Entity

FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/01217/081111
Legal Entity	COMPANY

Ownership Records

						TOTAL OWNERSHIP %			
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %			
ABC	Company Registration Number	1983/654784/87	CLOSE CORPORATION	MEMBER	PRIVATE COMPANY	20.00	Update Record	Delete Record	Next Ownership Level
TEST 1223	Company Registration Number	1998/678005/89	COMPANY	MEMBER	PRIVATE COMPANY	5.00	Update Record	Delete Record	Next Ownership Level
TEST ABC	SA ID Number	820285918887	NATURAL PERSON	MEMBER		75.00	Update Record	Delete Record	Next Ownership Level
						TOTAL OWNERSHIP %	100.00		

[New Ownership Record On This Level](#) [Back](#)

4.2 Update information as follows:

BENEFICIAL OWNERSHIP

Regulated Entity (Parent)

FSP No. and Name	2 TEST WITHOUT CO
Registration Number	1999/01217/081111
Legal Capacity	COMPANY

Legal Capacity * CLOSE CORPORATION

Entity Name * ABC

Identity Type * Company Registration Number

Company Registration Number(CIPC) * 1983/654784/87 yyyy/xxxxxx/e.g. 2006/181588/23-

Ownership Percentage * 20.00 e.g. 89.51

Ownership Obtained Date * 04/04/2022

Jurisdiction * South Africa

Fields marked with * are compulsory.

[Submit Updated Input](#) [Back](#)

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4.3 Click on “Submit Updated Input”

5. Deleting BO information

5.1 To delete a record click on “Delete Record”

BENEFICIAL OWNERSHIP

Regulated Entity

FSP No. and Name	2	TEST WITHOUT CO
Registration Number	1999/012177/081111	
Legal Entity	COMPANY	

Ownership Records						
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %
ABC	Company Registration Number	1983/054784/87	CLOSE CORPORATION	MEMBER		20.00
TEST 1223	Company Registration Number	1999/078005/89	COMPANY	MEMBER	PRIVATE COMPANY	5.00
TEST ABC	SA ID Number	8202085018087	NATURAL PERSON	MEMBER		75.00
TOTAL OWNERSHIP %						100.00

Click on this button to delete this record. Take note all information captured on lower levels for this entity will also be deleted!

Important Note : Please read the pop-up message before clicking the Delete Record button.

Click on this button to delete this record. Take note all information captured on lower levels for this entity will also be deleted!

6. Indirect Ownership

6.1 Below are examples of the screens that will appear when you capture indirect ownership information on the “Next Ownership Levels”.

6.2 Click on “Next Ownership level” as displayed below:

Confirmation

Please confirm that the Related Entity ownership information is correct

Ownership Records						
TOTAL OWNERSHIP % 60.00						
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %
ABC	Company Registration Number	1678/870654/75	COOPERATIVE	SHAREHOLDER		50.00
TESS4	Company Registration Number	1983/003456/78	CLOSE CORPORATION	SHAREHOLDER		10.00
TOTAL OWNERSHIP %						60.00

Next Ownership Level button disabled for the following reasons:

1. Total Ownership % on this level may be less than 100% if there are Natural Persons with ownership percentages of under 5% who are not captured or the entity is a Listed Company, Trust, Co-operative or State Owned Entity.
The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.

6.3 The User will be required to capture the information on additional indirect ownership by following the steps outlined in No. 3.2.

6.4 The User can update or delete any indirect ownership information captured as outlined in No.4 and 5 above.

*****Note:** If you have completed capturing the indirect ownership information and the “Next Ownership Level” is still disabled you can only continue once you have confirmed that the information on this level is completed by checking the confirmation checkbox above. Take note of point no.1 under “Next Ownership Level button disabled for the following reasons”.

7. Organogram

7.1 The User will also required to upload the organogram of the Regulated Entity.

7.2 Follow the steps below to upload the organogram:

7.3 Click on “Attachments”.

Please attach a copy of an organogram for this Regulated Entity.

Attachments

7.4 Click on “Add a New Attachment”.

Beneficial Ownership - View Attachments

FSCA Registration No	2
Registered Entity Name	TEST WITHOUT CO

[Back](#)

Record ID	Document Description	Upload Date	Comment	File Name

[Add a new Attachment](#)

7.5 Click on “Choose File”.

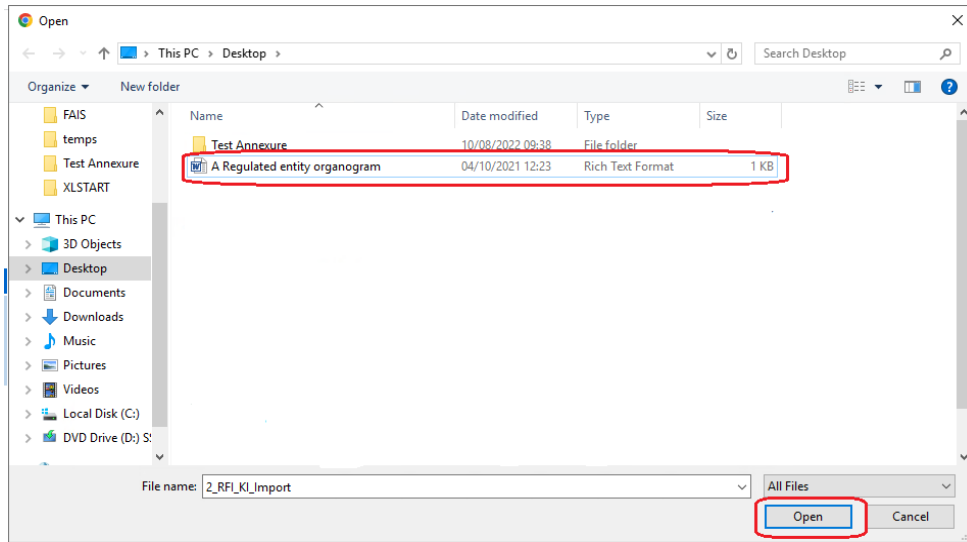
Beneficial Ownership - View Attachments

FSCA Registration No	2
Registered Entity Name	TEST WITHOUT CO

[Back](#)

Nr	Document Description	Comment	Attachment
1	Organogram		Choose File No file chosen No attachment uploaded yet. Upload attachment/comment

7.6 Select the file from saved documents and click on “open”.



7.7 The file selected will display on the E-portal

Nr	Document Description	Comment	Attachment
1	Organogram		Choose File A Regulated... ganogram.rtf NO No attachment uploaded yet. Upload attachment/comment

7.8 Click on “Upload Attachment”

Nr	Document Description	Comment	Attachment
1	Organogram		Choose File A Regulated... ganogram.rtf NO No attachment uploaded yet. Upload attachment/comment

7.9 The screen below will confirm that the attachment has been uploaded

Record ID	Document Description	Upload Date	Comment	File Name
52	Organogram	10/08/2022		A Regulated entity organogram.

[Add a new Attachment](#)

Important Note: The uploading of the Organogram is the final step in the process. Once the information is validated on the FSCA Beneficial Ownership database the User will receive a confirmation e-mail.

8. Downloading the Excel Template

8.1 To import the beneficial ownership information, download the excel Template by clicking on “download template” as shown below:

Import Beneficial Ownership Information

TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity.

Import (Excel Template)

Download Template

8.2 The Template will appear at the bottom left of your screen, click on it and the Template will open

New Ownership Record On This Level Back

Next Ownership Level button disabled for the following reasons:

1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.
2. Total Ownership % on this level may not exceed 100%.
3. The entity is a FSCA Regulated Entity and no further action required.
4. The entity is a Natural Person and no further action required.
5. The entity is a State-Owned Company and no further action required.

Organogram

Please attach a copy of an organogram for this Regulated Entity. Attachments

Import Beneficial Ownership Information

TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity. Import (Excel Template) Download Template

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Template_New_BO...xlsx

8.3 Capture the information as per the instructions on the Template. After completing the Template save it on your computer.

9. Importing the Excel Template

9.1 Click on “Import (Excel Template)” as shown below:

Import Beneficial Ownership Information

TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity. Import (Excel Template) Download Template

9.2 Click on “Choose File”

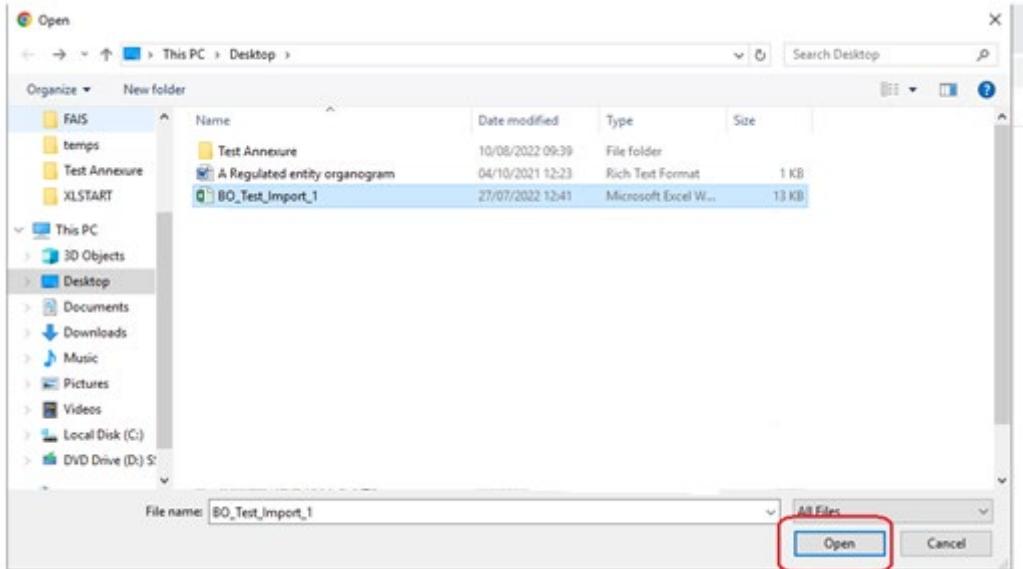
Beneficial Ownership Information Import

File To Import Choose File No file chosen

Import Back

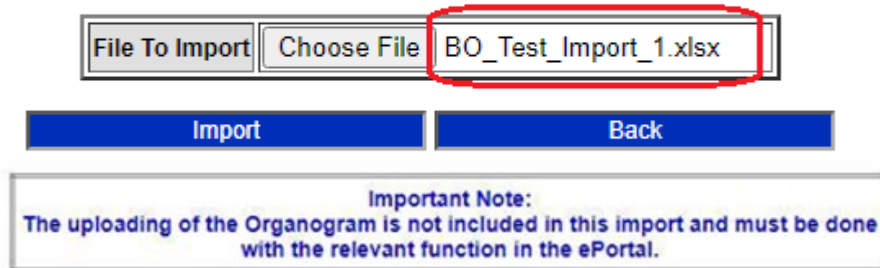
If you have any enquiries please contact FSCA Helpdesk

9.3 Select your file from the saved documents and click on open



9.4 The file selected will display on the e-Portal, and the select “Import”

Beneficial Ownership Information Import



Important Note: The imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for the Regulated Entity.

***Note: The organogram must be uploaded on the e-Portal as per the steps outlined in No.7