

User Guide for the Online Submission Of Compliance Report for 2010

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Introduction

The Compliance report online submission may only be submitted by registered users. The online mechanism provides an easier user interface than the previous package. It also eliminates many possible technical difficulties that can be experienced during the downloading, installation and submission processes of the pervious packaged software.

✓ **Report submission constraints**

- ❖ Note the compliance report may only be submitted on or after the reporting date.
- ❖ Note that the compliance report must be submitted by the submission date.
- ❖ Please note that only one compliance report should be submitted for each entity for a particular year. In case where an entity is authorised for more than one category, only one report needs to be submitted. The entity will need to submit the report that applies to the highest category that appears on the licence.
- **Example:** An FSP that is licensed for Category I and II needs only to submit the Category II report.
- ❖ **No Extensions** will be granted for the submission of compliance reports.
- ❖ Penalties may be imposed for the non submission of compliance reports.

Already registered for the software for previous submissions?

You don't need to register again, use your validation code that was sent to you, as initial password. Click on "Forgot password" button if you don't have it anymore and it will resend the code to your e-mail address as entered.

If you are not registered for the online submissions follow the steps on page 3



Registration

Go to www.fsb.co.za. Click on FAIS on the top right hand corner, scroll down to Supervision Department, and click on Online submissions of compliance reports and financial statements, then click on Online program, you will come to **screen 1** below, click on Register and you will go to **screen 2** where you will be asked to enter your ID number, after doing that click on register and the password will be e-mailed to your e-mail address.

Screen 1

Please Logon

Please note that the logon procedure has changed and you should now logon using your ID number (and not your email address)

Should you experience any problems please send an email to faiscomp1@fsb.co.za

Screen 2

FAIS Online Registration

Please Complete Your ID Number!

Register Back

Step 1 – Logging in to the online program

Go to www.fsb.co.za. Click on FAIS on the top right hand corner, scroll down to Supervision Department, and click on Online submissions of compliance reports and financial statements, then click on Online program, you will come to **screen A** below enter your ID number and password and the click Logon, after that you go to **screen B**, enter the year and click submit.

Screen A

Please Logon

Please note that the logon procedure has changed and you should now logon using your ID number (and not your email address)

Screen B

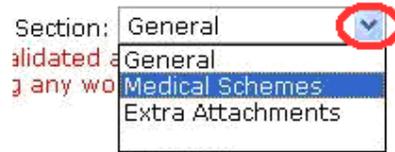
- Compliance Reports
- Query FSP Detail
- Financial Statements
- Extension Request for Statutory Returns

After clicking submit all the questions will appear and then you can proceed to answer all the questions. Please remember to save your work at **regular intervals** to ensure that no work is lost; it is advisable to click on save changes after you answer every 4 questions. This key appears on the top of the report and on the bottom.

Question	Question de
1.	Conditions and restrictions imposed, made , (4)(a) and 8(5)(b) of the Act
1. 1	Does the FSP have procedures in place to ensure the licensing conditions? (Condition 1 requires information as provided during application sta

After you answer all the questions on the page, please click the drop down key on the top of the report (see below) and see if there are any further sections that apply to you,

Example: If you do Medical Schemes it will appear under General, click on it and it will bring up the questions which you need to answer, if you don't then it will not appear which means there are no further questions for you to answer.



Once you have answered all the questions and indicated the annexure numbers in column 5, see example below, you can proceed to attach all your annexures.

Yes	No	N/A	Dev	App/Amnt
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1



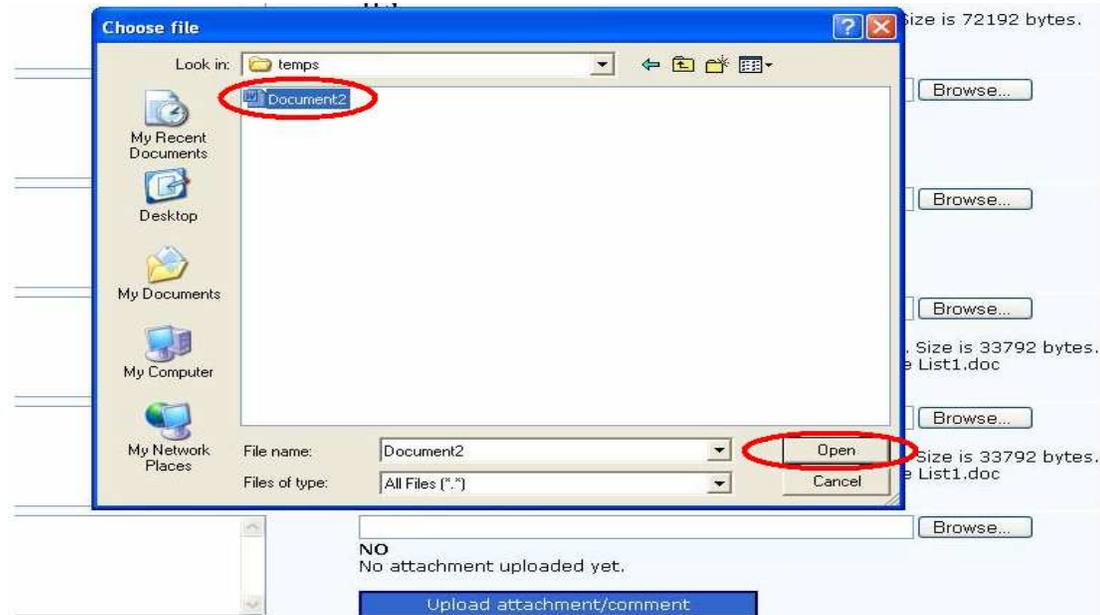
Attaching of Annexures

All annexures must be saved on your computer. Name the files in such a way that you will be able to find them easily when searched for, to upload the annexures click on “Attachments” and the screen below will appear,



Click on Browse and it will open up your computer (**screen A**), search for the annexures in the folder that you saved them in. Single click on the annexure and then click on open. The annexure will appear in the long white block on the left hand side of Browse (**screen B**), after that click on Upload attachment and once the attachment is uploaded it will say “YES” Received attachment successfully (**screen C**)

Screen A



Screen B



Screen C



Completing Statistics Information

Click on the drop arrow at the top of the compliance report (see below) and select the option “Statistics” after clicking on that you will go to “screen B”. Complete the all fields and click on “Save Changes”.

Screen A

31/05/2010 Section: General til it's been validated and the possibility of losing any work

General
Extra attachments
Statistics

ure

Screen B

Download Document for Signature

Save Changes
Attachments
Back to Selections
Validate
Logout

REPRESENTATIVES AT REPORTING DATE	NUMBER/AMOUNT		
Number of Representatives	0.00	0.00	0.00
Number of Representatives rendering service under supervision as contemplated in paragraph 3 of the Exemption of Services under Supervision in terms of Requirement and Conditions, 2008	0.00	0.00	0.00
Number of Key individuals that acted as supervisors in respect of Services under supervision	0.00	0.00	0.00
TYPE OF INSURANCE COVER	EXTEND OF COVER (Rand amount)		
Professional Indemnity of Cover as contemplated in section 5(e) and 13 of the General Code of Conduct	0.00	0.00	0.00
Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	0.00	0.00	0.00
Guarantees as contemplated in section 13 of the General Code of Conduct	0.00	0.00	0.00
COMPLIANCE FUNCTION	NUMBER		
Number of visits to the FSP during the reporting period in order to perform monitoring procedures	0.00	0.00	0.00
Identity number of compliance officer appointed in terms of Section 43(b) if FICA	0.00	0.00	0.00
HEALTH SERVICES BENEFITS	PERCENTAGE		
Percentage of client base that are corporate clients	0.00	0.00	0.00
FURNISHING OF ADVICE AND RECORD OF ADVICE	PERCENTAGE		
Provide the percentage:(%) of new financial transactions done as a single needs analysis	0.00	0.00	0.00

Save Changes
Attachments
Back to Selections
Validate
Logout



Document for Signature and Declaration Page

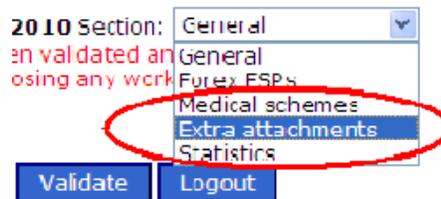
Once the report has been completed you need to attach the signature page. Click on Download Document for Signature at top of the report (see screen below), the signature page will open up in a word document which needs to be printed and completed. Once it is completed it needs to be scanned and saved on your computer because it needs to be attached to the report.



Attaching the Signature Page and Declaration Page

Once you have scanned the signature page and saved it on your computer click on the drop key at the top of the report and select the “Extra Attachments” (see below) option and indicate the number in column 5, once that is done click on “Save Changes” and then click on “Attachments” and follow the same procedure as attaching the annexures.

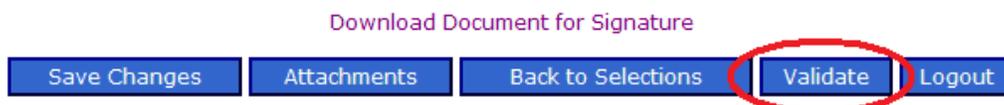
If a scanning facility is unavailable please fax the signature page to 012 422 2973.



Validation of the Report

After all the annexures have been attached click on Validate (see below), this key will appear on the top of the report and the bottom, after clicking on this it will notify you if there are any validation errors on the report and it will point out where they are, if there are any errors you need to go back and correct them. If there are no validation errors a message will appear stating that “ the report passes validation stage and is ready to commit” press on the commit key and the report will be submitted to the FSB.

NOTE: You should resolve all validation errors on the report as the FSB will not accept the report if there are any errors.



Changing Password

You can change your password to something else so it can be easily remembered. To do that you need to logon with the password that was provided by the FSB, once you have logged on click on “Change Password” (**screen A**), after that you will go to **screen B**, enter the password that was provided and then enter new password, Re-enter new password and click submit.

Screen A



- Compliance Reports
- Query FSP Detail
- Financial Statements
- Extension Request for Statutory Returns

Year:

Screen B



Change User Password

ID Number	<input type="text"/>
Old Password	<input type="text"/>
New Password	<input type="text"/>
Re-enter New Password	<input type="text"/>

Obtaining a copy of the submitted report

Once the report has been submitted you can obtain a copy of the report for your records. You need to log into the online program and select “Query FSP Detail” see **screen A**, after selecting that click on “Submit” you will then go to **screen B** which will display the Basic Detail of your FSP. **NB: If any details are incorrect on this screen please send an e-mail to faispfc@fsb.co.za with the correct details and request that it be changed.** Click on Compliance reports at the bottom see (**screen B**) you will then go to **screen C** which will display all the reports that have been submitted, next to the year you will have two options, click on any one to download a copy which you can print out or save on your computer.

Screen A

Screen B

FSP Nr: Name:

BASIC DETAIL			
Name:	ID Number:	Date of Birth:	
Trade Name:	Legal Capacity:	Registration Number:	Type of Company:
CONTACT DETAILS			
Physical Address		Postal Address	Tel/Fax Numbers
18 DECEMBER 2009 ADDRESS 1		18 DECEMBER 2009 POSTAL 1	Phone: Fax: Website:
18 DECEMBER 2009 ADDRESS 2		18 DECEMBER 2009 POSTAL 2	
18 DECEMBER 2009 ADDRESS 3		18 DECEMBER 2009 POSTAL 3	
9987		4093	
BUSINESS DETAIL			
Financial Year End	Contact Person: Title Initials & Surname Cell or TelNr eMail	Person responsible to pay	
Bank		levies:	
Branch Code		Title	
Account Nr		Initials & Surname	
		Cell or TelNr	
		eMail	
FURTHER DETAIL			
SEPERATE BANK ACCOUNT:			

Screen C

Report type	Date of Report	Case number	Request Report	Request Receipt
Annual (2005, 2006, 2007)	31/12/2005		Download Report	Download Receipt
Annual (2005, 2006, 2007)	31/12/2006		Download Report	Download Receipt
Annual (2005, 2006, 2007)	31/12/2007		Download Report	Download Receipt
Cat I with CO (2008-2009)	31/05/2008		Download Report	Download Receipt
Cat I with CO (2008-2009)	31/05/2009		Download Report	Download Receipt
Cat I with CO (2010)	31/05/2010		Download Report	Download Receipt



Other Considerations

If you need to submit compliance reports for different years you may do so using this program, all you need to do is to logon and enter the year you wish to submit.

Confirmation will be sent as soon as the report is imported on the FSB's system, this can take up to 24 hours. Please keep proof of submission.

You may capture the report over a period of time and save all changes as you capture it, once the report is allowed to submit (after reporting date) you can finally submit the report, this may assist you if there is outstanding information that you need to gather before final submission.

Note that the program becomes very, very slow during the last week before the submission date. It is advisable to complete your compliance report just after the reporting date but before the submission date to avoid the slowness of the program.

