

USER GUIDE  
FOR THE  
FAIS ONLINE NEW  
LICENSE  
APPLICATION  
SYSTEM





## Table of Contents

A.	General	2
	1. <i>What is the purpose of the system?</i>	2
	2. <i>How to register to use the system?</i>	2
B.	Creating a new license application	5
C.	Capturing information	7
D.	Indexing attachments	8
E.	Fee calculator	9
F.	Validation	10
G.	Submission	11



## **A. General**

### 1. What is the purpose of the system?

- The FAIS Online New License Application system is specifically for the submission of new license applications.
- It can be used by **registered users**.
- It can only be used for new license applications.
- Once an application has been submitted, information cannot be updated via this system.
- All relevant information must be captured and all required documents indexed before an application can be submitted.

### **NOTE: MULTIPLE APPLICATIONS CAN BE CREATED UNDER ONE USER PROFILE**

### 2. How to register to use the system?

The following steps should be followed:

- Go to [www.fsb.co.za](http://www.fsb.co.za)
- Select FAIS on the bottom left hand corner.
- On the left hand side of the screen, select Registration then New License Applications.
- Finally select the FAIS Online License Applications link.



**Screen 1:** Click register and you will be directed to **screen 2**.





**Screen 2:** Enter an e-mail address, name and surname as required, then click register.

A screenshot of a web browser window showing the 'FAIS Online Application Registration' page. The browser's address bar shows the URL 'https://www.fsis.co.za/Registration/Registration4.d3'. The page title is 'FAIS Online Application Registration'. Below the title, there is a message: 'Please enter a valid e-mail address!'. The registration form has three input fields: 'Email Address', 'Name', and 'Surname'. Below these fields are two buttons: 'Register' and 'Back'. At the bottom of the form area, there is a note: 'If you have any enquiries please contact the FSB call centre - 0800 110 443'. A large, semi-transparent watermark of the FSB logo is visible in the background of the page.

- A password will be sent to your e-mail address immediately
- You will be redirected to screen 1 to enter the e-mail address and the password provided. After capturing these details, click on logon.



**Screen 3:** You will then be requested to change your password. After creating a new password, click on update.



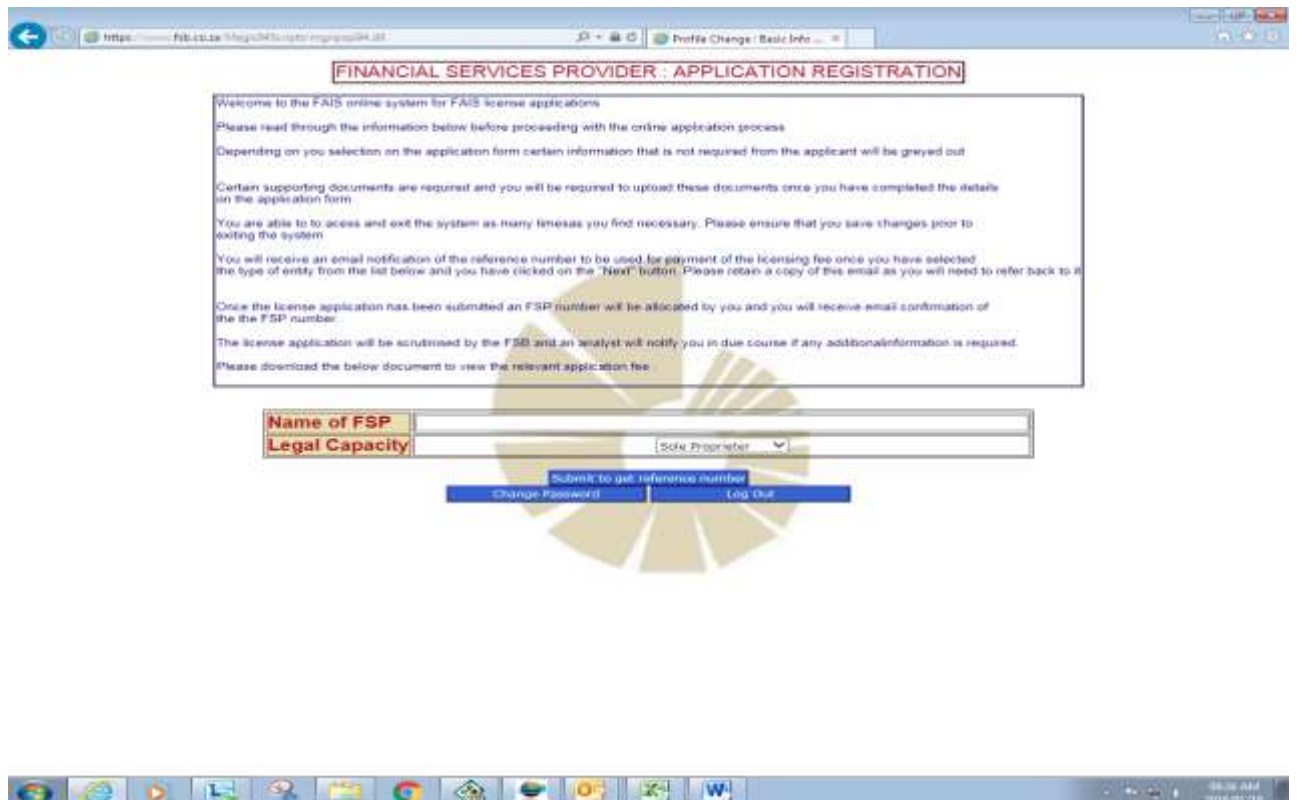
## **B. Creating a new license application**

**Screen 4:** The following options are available:

- Create a new application,
- Change password and
- Logout.



Screen 5: Select create a new license application.

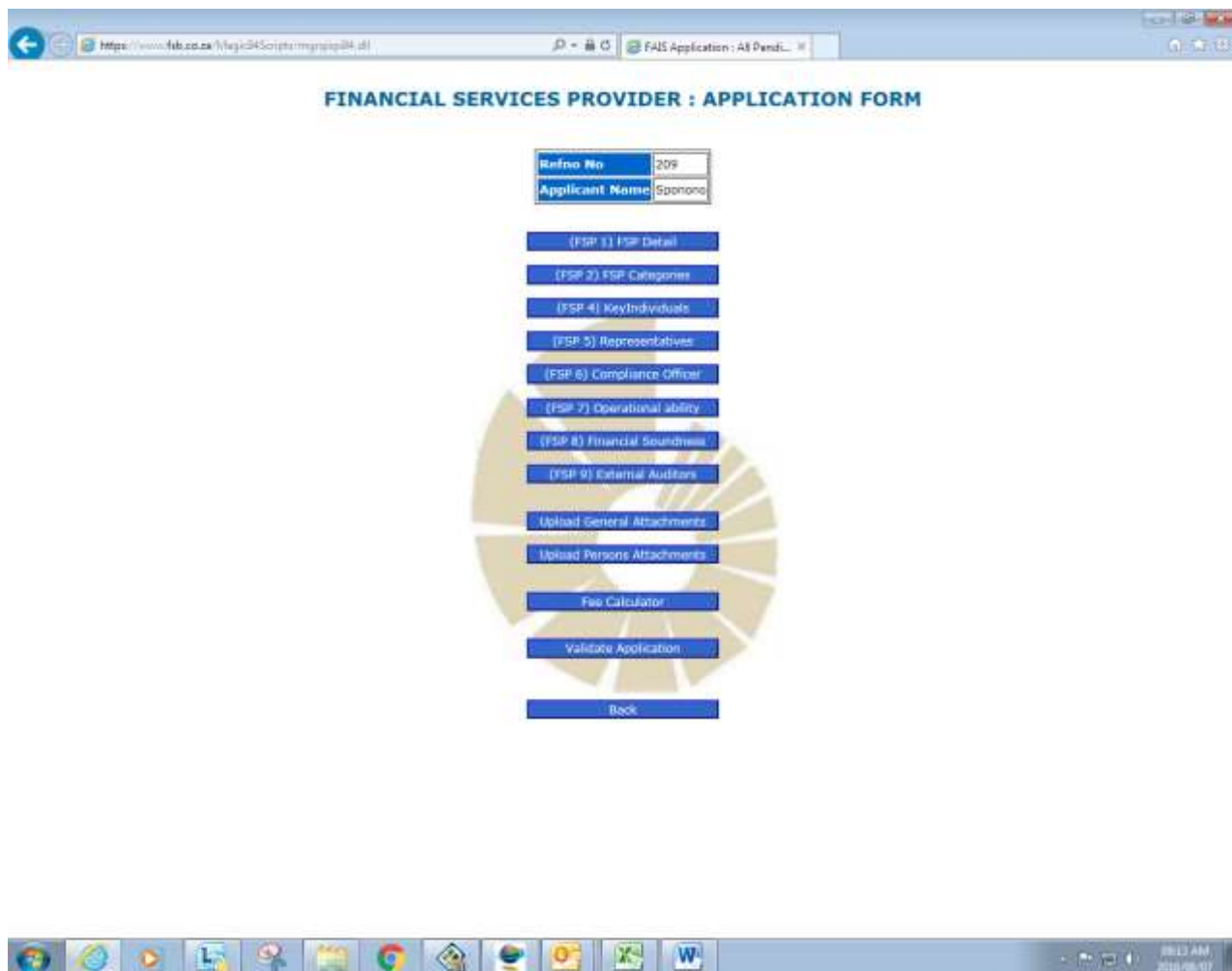




- Complete the applicant name. This can either be a natural or juristic person.
- Select the legal capacity by using the drop down function.
- Select submit to get a **reference number**. This will be **sent to your e-mail address** and must only be used as **reference for payment**.

### C. Capturing information

**Screen 6:** To capture information, click on the relevant tab (e.g. FSP 1) and complete the information as required.



**Screen 7:** When **all the required information has been captured** under each tab, **click on the save button to save** the captured information. After saving, you will be taken back to screen 4.

**NOTE: SHOULD THE SAVE BUTTON NOT BE CLICKED, THE INFORMATION CAPTURED WILL BE LOST.**





https://www.fsb.co.za/itgpdf/Scripts/mgapp04.dll

Reference Number: 209

**FSP 1 : FINANCIAL SERVICES PROVIDER BUSINESS INFORMATION**

Applicant Name	Sponono		
Trading Name			
Capacity	Sole Proprietor	ID/Passport Number	0000000000000000
		Date of Birth	06/12/1990

Physical Address	Postal Address	Telephone Number	Contact Person	Business	Separate Account	Accounting Info
Pretoria				Financial Year End	31/00	(DD/MM)
Pretoria				Bank	SBSA	
				Branch	Home	
0001				Account Nr	0123456789	

<b>Client Funds/Premiums</b>	Does FSP hold or receive money or premium on behalf of a client or product supplier? No
<b>Jurisdiction</b>	Are you subject to regulation as a financial services intermediary or advisor in another jurisdiction? No
	If yes which jurisdiction?
	Name of foreign regulators
	Are you regulated by the JSE?
<b>Regulators</b>	Are you subject to regulation by a local regulator other than the Financial Services Board? Yes
	If yes which regulator/s? CMS
	Are you a Direct Marketer? No
<b>Short term Insurance</b>	Are you receiving short-term insurance premiums in terms of section 45 of the Short-term Insurance Act, 1998? No
	If yes provide details of your guarantee policy (e.g. IGF no.)

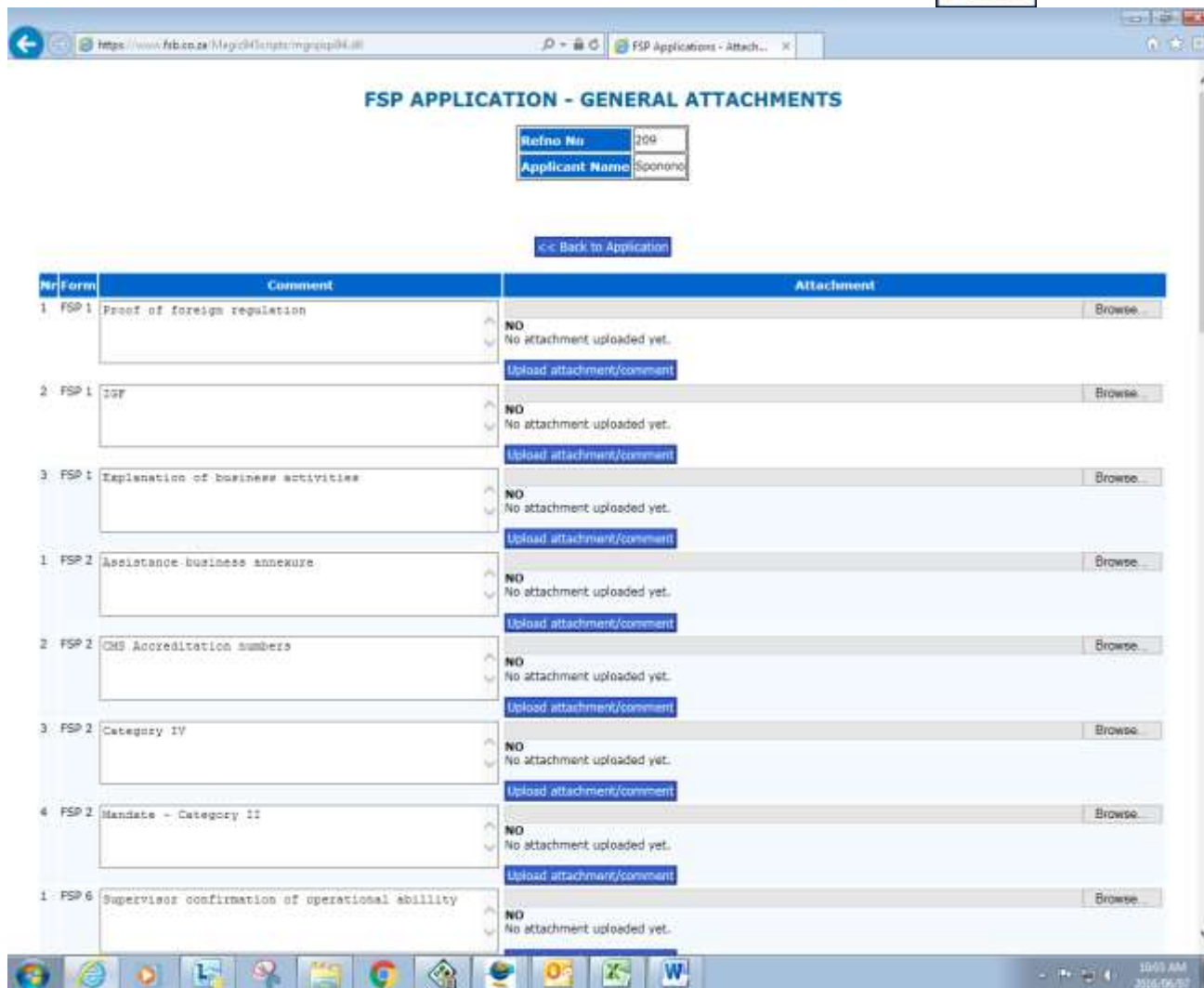
Save | Upload documents

Back

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#### D. Indexing attachments

**Screen 8:** After capturing all the relevant information, upload the required supporting documents. There is an option to upload documents under each FSP form or under the general and/or person's attachments tab.



- When uploading documents, select upload attachments.
- Click on browse and select the relevant document. After selecting the document, the name should reflect in the browse line. Thereafter click on upload attachment.
- You should then get a message confirming that the document has been uploaded successfully.

**NOTE: SHOULD THE UPLOAD BUTTON NOT BE USED, THE DOCUMENT WILL NOT BE UPLOADED TO THE SYSTEM.**

### **E. Fee calculator**

**Screen 9:** The fee calculator assists in determining the fees payable for the application. The fee calculation is based on the license category selected and the appointment of key individuals, compliance officers and auditors.



https://www.fsb.co.za/Maps/Scripts/wgappsp04.js FSP Applications - Attach...


### FSP APPLICATION - FEE INFORMATION

Refno No	209
Applicant Name	Sponono

**IMPORTANT** - The total fee payable calculated below is based upon the information captured by the user as at the time of calculating. The fee may change if the user amends the license application in any way. We would recommend that the user complete the application in full, prior to calculating the fees payable. Should there be a short payment made, the FAIS Registration Department will notify the applicant accordingly.

Fee Description	Fee
APPROVAL OF KEY INDIVIDUALS FOR FSP	R 1251,00
APPROVAL OF AUDITOR/ACCOUNTING OFFICER FOR FSP	R 345,00
COMPLIANCE OFFICERS OTHER FUNCTIONS	R 742,00
APPLICATION FOR APPROVAL AS CATEGORY 1 FSP	R 2311,00
TOTAL FEE	R 4649,00

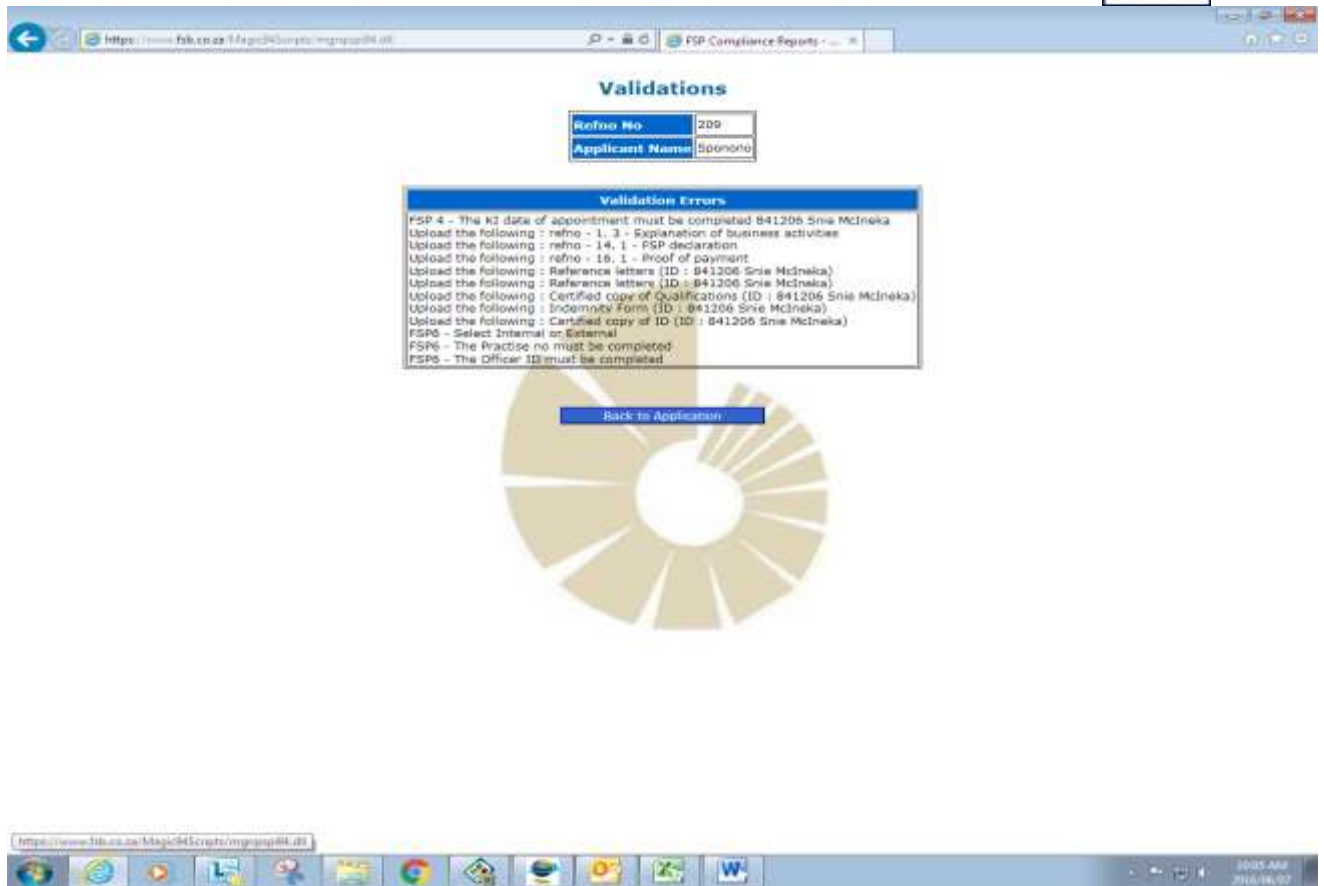
[<- Back to Application](#)



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## **F. Validation**

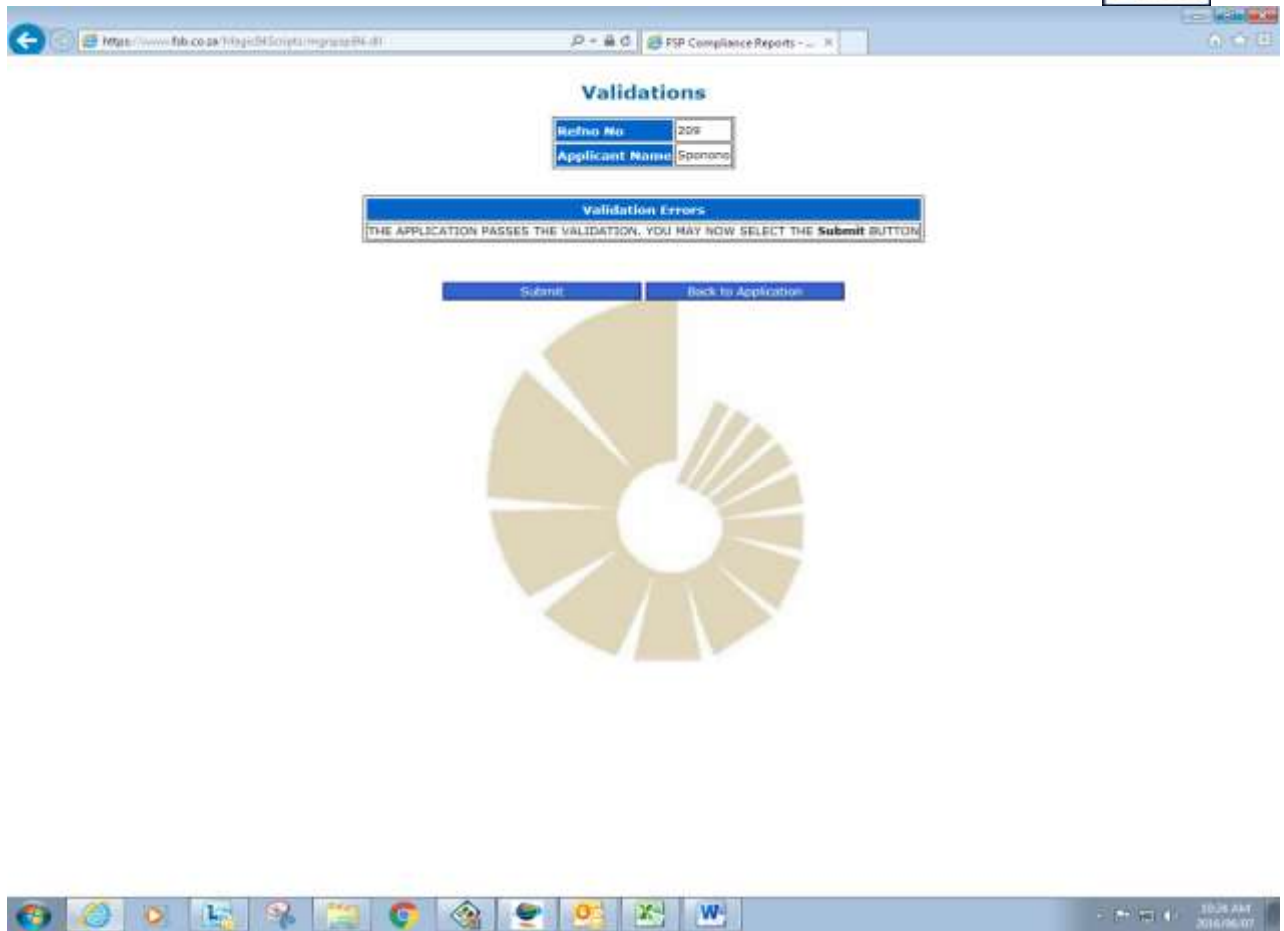
**Screen 10:** The validate button is used to ensure that all required information has been captured and the required documents uploaded. When validating, any outstanding items will be indicated. The application cannot be submitted until all validation errors have been cleared.



## **G. Submission**

**Screen 11:** When the application has validated successfully, the submit button will be available. Click on the submit button to submit the application.

**PLEASE ENSURE THAT THE INFORMATION CAPTURED IS CORRECT AS YOU WILL NOT BE ABLE TO AMEND ANY INFORMATION AFTER YOU HAVE SUBMITTED THE APPLICATION.**



When the application has been successfully submitted, confirmation thereof is provided as well as the **temporary number**.