

APPLICATION BY FINANCIAL SERVICES PROVIDERS FOR AUTHORISATION BY THE FINANCIAL SECTOR CONDUCT AUTHORITY

Introduction

In this application form “the Act, means the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002). A word or expression to which a meaning has been assigned in the Act, including any measure referred to in the definition of “the Act” in section 1(1), shall have that meaning, unless the context otherwise indicates.

Submissions to the Financial Sector Conduct Authority (FSCA):

1. An applicant that is not authorised as a financial services provider must, prior to submitting an application, obtain a payment reference number from the Financial Sector Conduct Authority (FSCA). The payment reference number can be obtained by -
 - (a) contacting the designated FSCA telephone number; or
 - (b) in the case of submitting an application through the online submission process, registering and creating an application.
2. Payment of the prescribed fee must be made prior to submission of the application to the FSCA and proof of payment must be attached to the application. The deposit reference must be reflected as follows –
 - (a) in the case of an applicant referred to in paragraph (1), the payment reference number obtained from the FSCA;
 - (b) in the case of an applicant that is a natural person applying for Phase 1 compliance officer approval, the identity number of the applicant;
 - (c) in the case of an applicant that is a not a natural person applying for Phase 1 compliance officer approval, a payment reference number obtained from the FSCA through the process set out in paragraph 1(a); or
 - (c) in the case of any other applicant, the applicant’s FSP number.
3. The FSCA shall not consider an **application unless the full prescribed application fee has been paid and the FSCA has confirmed receipt of payment.**
4. An applicant must only indicate the FSP number on the Forms if it is already authorised as a financial services provider and has been issued with an FSP licence number.
5. Applications may be submitted to the FSCA as follows:

Hand delivery	For attention: FAIS Registrations Riverwalk Office Park, Block B 41 Matroosberg Road (Corner of Garsfontein and Matroosberg Roads) Ashlea Gardens, Extension 6 Menlo Park Pretoria South Africa
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Electronic mail	fais.newlicense@fsca.co.za
Posting	Postal address: The FSCA PO Box 35655 Menlo Park 0102 For attention: FAIS Registrations
Online Submission (Only for new applications)	https://www.fsca.co.za/Regulated%20Entities/Pages/ES-FAIS-New-License-Applications.aspx (also accessible via www.fsca.co.za)
e-Portal (Any application for amendment or changes or updates or representative information)	https://www.fsca.co.za/Regulated%20Entities/Pages/ES-FAIS-e-portal.aspx (also accessible via www.fsca.co.za)