



FSCA COMMUNICATION 23 OF 2023 (FAIS)

Invitation to Financial Services Providers: Meet the Regulator Information Sharing and Awareness Day - 19 September 2023

1. PURPOSE

- 1.1 The purpose of this communication is to inform licensed Financial Services Providers (FSPs) that the Financial Sector Conduct Authority (FSCA) will host an in-person information sharing and awareness event at its premises on 19 September 2023, and to provide additional information in this regard.

2. DETAILS OF EVENT

- 2.1 FSPs are invited to meet with the FSCA in person to trouble shoot specific issues or challenges being faced in respect of their regulatory obligations.

2.2 **Date of event:** 19 September 2023

2.3 **Time:** 09:30 – 14:30

2.4 **Venue:** FSCA Offices
Block B, Riverwalk Office Park
41 Matroosberg Road
Ashlea Gardens, Pretoria

2.5 **Registration details:** FSPs who wish to attend must register for an available timeslot by clicking [here](#). Timeslots are as follows:

- Meet the Regulator Session 1: 09:30 – 11:30
- Meet the Regulator Session 2: 11:30 – 13:00
- Meet the Regulator Session 3: 13:00 – 14:30

3. CONTENT TO BE COVERED

- 3.1 There will be no formal presentations on the day.

3.2 Various helpdesks will be available to assist with specific topics affecting FSPs.

3.3 Representatives from the following FSCA Departments will be in attendance:

- Licensing and Business Centre
 - To assist with queries relating to licensing, registration, profile changes and related matters.

- Consumer Education
 - To provide information about public awareness activities conducted by the FSCA and possible opportunities for collaboration with FSPs on financial education initiatives.

- Conduct of Business Supervision
 - Financial Advisors and Intermediaries (FAIS) Supervision
 - Investment Providers Supervision
 - AML/CFT (FICA) Supervision
 - Micro-institution and Access Providers Supervision

3.4 There will also be representation from the Financial Intelligence Centre (FIC) to assist with goAML registrations.

3.5 FSPs that wish to discuss the following topics must bring along the necessary information and documentation as indicated in the table below:

TOPIC	INFORMATION / DOCUMENTATION REQUIRED
Profile Changes	<ul style="list-style-type: none"> • FSP number. • Details of the change, including supporting documents (where relevant)
DOFA	ID/Passport
Complaints	Details of complaint
Qualifications	Copy of qualification details, especially transcripts (results statements)
CPD	ID/Passport
ePortal log-in and submissions	FSP number
Licence copies/ duplicates	FSP number
Financial statements	Copy of financial statements
Financial soundness	Copy of financial statements
Start-up business	Business plan and copy of financial statements
Intermediary agreements	Copy of agreements

TOPIC	INFORMATION / DOCUMENTATION REQUIRED
goAML registration AML/CFT/FICA <ul style="list-style-type: none"> • Customer due diligence • Risk management and compliance programmes • Targeted financial sanctions • Reporting obligations 	<ul style="list-style-type: none"> • Certified copy of ID / passport • Signed authorisation letter on letterhead of the accountable institution (AI) with details of: <ul style="list-style-type: none"> ○ money laundering compliance officer ○ username ○ ID / passport number ○ occupation of the user ○ role of the user to be allocated on the goAML system
Suspensions/ Withdrawals	FSP number
Debarments	FSP number and ID/Passport
Re-appointments	ID/Passport

4. ENQUIRIES

4.1 For more information about this Communication and the above event, please contact:

- Ms Charene Nortier: Charene.Nortier@fsc.co.za
- Ms Mpho Mashashane-Masango: Mpho.Mashashane-Masango@fsc.co.za
- Ms. Dimakatso Zililo: Dimakatso.Zililo@fsc.co.za
- Mr Xolani Mkumla: Xolani.Mkumla@fsc.co.za
- Mr. Vuyile Mnukwa: Vuyile.Mnukwa@fsc.co.za

4.2 This Communication is available on the FSCA's website (www.fsc.co.za) at the following path:
Home > Regulatory Frameworks > Industry Communication > FAIS > FSCA Communication.



FARZANA BADAT
DEPUTY COMMISSIONER
FINANCIAL SECTOR CONDUCT AUTHORITY

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