

REGULATORY EXAMINATIONS ON LEVEL 1

RELEVANT LEGISLATION

All the Acts and Board Notices can be found on the FIA website under the tab LEGISLATION.

All Board Notices can also be found on the following link:

www.fsb.co.za/faisdep/Legislations.htm

ACTS

NAME OF ACT	NUMBER OF ACT
Financial Advisory and Intermediary Services Act (FAIS)	37 of 2002
Financial Intelligence Centre Act (FICA)	38 of 2001
Financial Intelligence Centre Amendment Act	11 of 2008
Financial Services Laws General Amendment Act	22 of 2008

BOARD NOTICES 2003

NUMBER	NAME
80	General Code of Conduct for Authorized Financial Services Providers and Representatives
81	Rules on Proceedings of the Office of the Ombud for Financial Services Providers
82	Requirements for Reappointment of Debarred Representatives

BOARD NOTICES 2004

NUMBER	NAME
85	Exemption in Respect of Audited Financial Statements

BOARD NOTICES 2008

NUMBER	NAME
103	Continuous Professional Development
104	Services under Supervision
105	Qualifying Criteria and Qualifications
106	Fit and Proper Requirements
151	Amendment of Fit and Proper Requirements
565	Exemption of Providers as regards Representatives

BOARD NOTICES 2009

NUMBER	NAME
64	Amendment of Qualifying Criteria and Qualifications
123	Professional Indemnity and Fidelity Insurance Cover for Providers

BOARD NOTICES 2010

NUMBER	NAME
44	Amendment of Qualifying Criteria and Qualifications
58	General Code of Conduct – Conflict of Interest
60	Amendment to Fit and Proper Requirements, Services under Supervision, Continuous Professional Development and Qualifying Criteria