

## **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](http://www.fsb.co.za/faisdep/Legislations.htm)

### **ACTS**

<b>NAME OF ACT</b>	<b>NUMBER OF ACT</b>
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
Prevention of Crime Act (POCA)	121 of 1998
Protection of Constitutional Democracy against Terrorist and Related Activities Act (POCDATARA)	33 of 2004
Financial Services Laws General Amendment Act	22 of 2008

### **BOARD NOTICES 2003**

<b>NUMBER</b>	<b>NAME</b>
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
96	Exemption in Respect of Audited Financial Statements

### **BOARD NOTICES 2004**

<b>NUMBER</b>	<b>NAME</b>
85	Exemption in Respect of Audited Financial Statements

### **BOARD NOTICES 2008**

<b>NUMBER</b>	<b>NAME</b>
103	Continuous Professional Development
104	Services under Supervision
105	Qualifying Criteria and Qualifications
106	Fit and Proper Requirements
43	Amendment of General Code of Conduct
151	Amendment of Fit and Proper Requirements
152	Amendment of General Code of Conduct
565	Exemption of Providers as regards Representatives

### **BOARD NOTICES 2009**

<b>NUMBER</b>	<b>NAME</b>
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64	Amendment of Qualifying Criteria and Qualifications
95	Amendments to Continuous Professional Development, Qualifying Criteria and Services under Supervision
123	Professional Indemnity and Fidelity Insurance Cover for Providers

### **BOARD NOTICES 2010**

<b>NUMBER</b>	<b>NAME</b>
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