

**BOARD NOTICE 99 OF 2009****Financial Services Board****Financial Advisory and Intermediary Services Act, 2002  
(Act No. 37 of 2002)****EXEMPTION, SUBJECT TO CONDITIONS, OF FINANCIAL SERVICES PROVIDERS WHO SUBMIT COMPLIANCE REPORTS IN THE PRESCRIBED ELECTRONIC FORMAT FROM THE DATE PRESCRIBED FOR THE SUBMISSION OF THOSE REPORTS**

I, Dube Phineas Tshidi, Registrar of Financial Services Providers, acting under section 44(4) of the Financial Advisory and Intermediary Services Act, 2002, hereby exempt financial services providers that submit compliance reports in the prescribed electronic format from the date prescribed for the submission of those reports to the extent and subject to the conditions set out in the Schedule.



**DP TSHIDI,**  
*Registrar of Financial Services Providers*

## SCHEDULE

### Definitions

1. In this Schedule any word or expression to which a meaning has been assigned in the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), has that meaning, and -

**'Compliance Report Notice'** means –

- (a) the Notice on the Determination of Compliance Report for Category I Financial Services Providers with a Compliance Officer, 2009;
  - (b) the Notice on the Determination of Compliance Report for Categories II, IIA and Forex Authorised Financial Services Providers, 2009;
  - (c) the Notice on the Determination of Compliance Report for Category III Financial Services Providers, 2009; or
  - (d) the Notice on the Determination of Compliance Report for Category IV Financial Services Providers, 2009,
- published in Government Gazette 32089 on 17 April 2009.

### Extent of exemption and conditions

2. Financial services providers who submit compliance reports in the prescribed electronic format are exempt from paragraph (a) of the Compliance Report Notice, subject to the following conditions-
  - (a) Category I financial services providers with a compliance officer must submit the report for the reporting period in the prescribed electronic format, before or on 15 September 2009; and
  - (b) Categories II, IIA, III, IV and forex financial services providers must submit the report for the reporting period in the prescribed electronic format, before or on 30 November 2009.

### Short title and commencement

3. This Notice is called the Notice on Exemption of Financial Services Providers who submit compliance reports in the prescribed electronic format from the date prescribed for the submission of the reports, 2009, and comes into operation on the date of publication in the *Gazette*.