

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
11.1.7	Receipt of funds and/or collection of premiums.					
11.1.8	Waiver of rights.					
11.1.9	Money laundering control procedures.					
11.1.10	Exchange control regulations (in case of a forex FSP).					
11.1.11	Policies and procedures.					
11.1.12	Mandates and application forms.					
11.1.13	Conflict of interest management policy					
11.1.14	Direct marketer's telesales script and/or telesales voice recordings to check compliance with section 15 of the General Code of Conduct.					
11.1.15	Other. Please provide details of other type of monitoring in a separate annexure and indicate the annexure number in column 5.					
11..2	In a separate annexure, provide an explanation as to how you did the monitoring (methodology). Please also include the extent of monitoring. Indicate the annexure number in column 5.					
SECTION 2 – DISCRETIONARY FSPs						
12	Particular duties/obligations relating to discretionary FSPs					
12.1	Prohibitions and duties of discretionary FSP <i>Section 3 of Code of Conduct for Discretionary FSPs, 2003</i>					
12.1.1	Does the FSP have procedures in place to ensure that it does not:					
12.1.1.1	sell or provide a third party with clients' detail, unless obliged by, or in terms of, any law to do so?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.1.1.2	directly or indirectly, sell any financial products owned by the FSP, to any client or buy for own account, any financial product owned by the client?					
12.1.1.3	directly or indirectly, engage in the netting of transactions?					
12.1.2	Did the FSP exercise a vote in a ballot conducted by a collective investment scheme or exercise voting rights on behalf of clients without the client's prior approval?					
12.2	Mandate <i>Section 5 of Code of Conduct for Discretionary FSPs, 2003</i>					
12.2.1	Did the Registrar approve all specimen mandate/s used by the FSP?					
12.2.2	Does the FSP have procedures in place to ensure that the FSP only deals with clients in respect of whom mandates, which comply with paragraph 5 of the said Code, have been obtained?					
12.2.3	Does the FSP have procedures in place to ensure that all cash, assets and documents of title are returned to the clients on termination of the mandate?					
12.2.4	Does the FSP have procedures in place to ensure that the client is issued with final statement accounts?					
12.2.5	Does the FSP have procedures in place to ensure that the client's investments are managed in terms of the mandates?					
12.2.6	Did the FSP invest any funds of clients in terms of the mandate into companies and/or structures in which the FSP or any associated group or entity have an interest in?					
12.2.7	<i>If the answer to Question 12.2.6 is YES - Provide full details of such instances in a separate annexure and indicate the annexure number in column 5.</i>					
12.3	Reporting to clients <i>Section 6 of Code of Conduct for Discretionary FSPs, 2003</i>					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.3.1	Does the FSP have procedures in place to ensure that reports are sent to clients within the periods as required by the said section 6?					
12.3.2	Did the FSP comply with the requirements of the said section 6 in all instances?					
12.3.3	<i>If the answer to Question 12.3.2 is NO –</i> Provide details of any instances of non-compliance found as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure and indicate the annexure number in column 5.					
12.4	Administration					
12.4.1	Did the FSP hold and/or manage funds on behalf of clients during the reporting period?					
12.4.2	<i>If the answer to Question 12.4.1 is YES questions 12.4.2.1 to 12.4.6 must be answered –</i>					
12.4.2.1	As a separate annexure, submit an organogram of the FSP and details of the FSP's administrative system that is utilised for managing client assets. Indicate the annexure number in column 5.					
12.4.2.2	As a separate annexure, submit details of the computer software packages and/or programmes that the FSP utilises in the administration process. Indicate the annexure number in column 5.					
12.4.3	Does the FSP outsource any of its functions? If YES, provide details of the outsourced functions (type of functions as well as whom it has been outsourced to) in a separate annexure and indicate the annexure number in column 5.					
12.4.4	Does the FSP manage assets on behalf of retirement funds and/or insurance companies?					
12.4.5	<i>If the answer to Question 12.4.4 is YES –</i> Does the FSP have procedures in place to establish whether the assets are held in the name of the client or in the name of an approved Nominee company?					
12.4.6	Does the FSP hold separate accounts in the name of the clients?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
12.5	Assets under management					
12.5.1	Did the FSP have assets under management as at the reporting date? If the answer is YES, the Statistical Information Sheet (Section 7) must be completed.					
12.6	Nominee companies <i>Section 8 of General Code of Conduct for Discretionary FSPs, 2003</i>					
12.6.1	Does the FSP hold client investments?					
12.6.2	If the answer to Question 12.6.1 is YES – questions 12.6.2.1 to 12.6.2.3 must be answered					
12.6.2.1	Does the FSP hold client investments in its own nominee company approved by the Registrar as required in terms of regulation 6 of the Regulations?					
12.6.2.2	Does the FSP make use of another approved Nominee company to hold client assets?					
12.6.2.3	As a separate annexure, attach a list of nominee companies that the FSP make use of to hold client assets. Also indicate whether the nominee company holds assets on behalf of pension funds, long-term insurers or short-term insurers. Indicate the annexure number in column 5.					
12.7	General functions					
12.7.1	Does the FSP manage clients' funds in wrap funds or structured funds on an administrative FSP's platform?					
12.7.2	<i>If the answer to question 12.7.1 is YES – In a separate annexure, provide details of the funds and underlying assets in the wrap funds or structured funds. Provide the annexure number in column 5.</i>					
12.7.3	Is the FSP authorised to render financial service in respect of long-term insurance products?					
12.7.3.1	<i>If the answer to Question 12.7.3 is YES - In a separate annexure, list the names of product suppliers that the FSP utilises. Indicate the annexure number in column 5.</i>					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Developmental area	Annexure number
	SECTION 3 – FOREX FSPs <i>The Forex Investment Business Code of Conduct covers forex investments which are investments in a financial product referred to in paragraph (e) of the definition of "financial product" in section 1(1) of the Act.</i>					
13	Particular duties relating to forex FSPs					
13.1	<i>If the FSP is licensed for subcategory 1.15 Question 13.2 must be answered (and where applicable, questions 13.3.1 to 13.3.19 should also be answered)</i>					
13.2	Is the FSP licensed to give advice as a forex service provider?					
13.3	If the answer to question 13.2 is YES - Questions 13.3.1 to 13.3.18 must be answered.					
13.3.1	In a separate annexure, provide details of the clearing firm that the FSP deals with as well as the name and contact details of the Regulator. Indicate the annexure in column 5.					
13.3.2	Did the FSP provide clients with the name and contact details of the clearing firm?					
13.3.3	Did the FSP provide clients with the name and contact details of the Regulator under whose jurisdiction the activity of the clearing firm falls?					
13.3.3.1	<i>If the answer to Question 13.3.3 is YES –</i> In a separate annexure, provide a copy of a written application form utilised for clients' purposes that was approved by the Registrar. Indicate the annexure number in column 5.					
13.3.3.2	In respect of self directed accounts provide full details in a separate annexure on how the FSP ensures that clients are sophisticated and have the necessary trading skills to start trading themselves. Indicate the annexure number in column 5.					
13.3.3.3	Does the FSP provide regular training sessions to educate and assist the clients to optimise their trading skills?					
13.3.4	Did the FSP make any substantial /material changes to this application form without prior					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	approval of the Registrar?					
13.3.5	Does the FSP take reasonable steps to ensure that the forex investment to be advised on is suitable for the client?					
13.3.6	<i>If the answer to Question 13.3.5 is YES –</i> In a separate annexure, provide details of the procedures that the FSP has put in place to ensure that the client's objectives, risk appetite, financial situation and foreign investment product experience are obtained in order to act in their interests at all times. Indicate the annexure number in column 5.					
13.3.7	In a separate annexure, provide full details of the procedures that the FSP have put in place to ensure that risks associated with forex investments (including currency fluctuations), are disclosed to clients? Indicate the annexure number in column 5. If a standard disclosure document is used, please include a copy thereof as part of the annexure.					
13.3.8	In a separate annexure, provide full details of the procedures that the FSP have put in place to ensure that risks associated with forex investments (including currency fluctuations), are disclosed to clients? Indicate the annexure number in column 5. If a standard disclosure document is used, please include a copy thereof as part of the annexure.					
13.3.9	Does the FSP have procedures in place to ensure that the forex investment intermediary, to whom clients are referred to, is an authorised FSP?					
13.3.10	Does the FSP have an appropriate written agreement in place to govern the relationship with forex intermediaries to whom clients are referred?					
13.3.11	Does the FSP ensure that clients comply with exchange control legislation (including tax legislation) when giving advice on forex investment business? If any instances of non-compliance were found, please provide full details thereof as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure and indicate annexure number in column 5.					
13.3.12	Does the FSP advise clients to invest by means of margin trading?					
13.3.13	<i>If the answer to Question 13.3.12 is YES –</i> In a separate annexure, provide details of the procedure that the FSP has put in place to					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	ensure that the minimum leverage required does not exceed widely used industry norms. Indicate the annexure number in column 5.					
13.3.14	In a separate annexure, provide details of the procedure/s that the FSP has put in place to ensure all fees, charges, costs and commission payable to the different stakeholders involved in the forex investment process are fully and adequately disclosed.					
13.3.15	Does the FSP directly obtain reports and statements from the clearing firm or foreign forex services provider and make them available to clients in a hard copy format or by electronic means?					
13.3.16	If the reports and statements referred to in 13.3.15 are generated by the clearing firm or foreign forex services provider, can the contents of the statements be altered by the FSP before being made available to clients or viewed online?					
13.3.17	In a separate annexure, provide a full explanation setting out how clients' funds which are held offshore will be treated if the FSP is wound up, liquidated or ceases to conduct business for any reason. Indicate the annexure number in column 5.					
13.3.18	Does the FSP ensure that a foreign forex services provider which holds investments on behalf of clients maintains insurance cover to guard against risk of loss due to fraud, dishonesty and negligence?					
13.4	Special prohibitions applying to forex investment intermediaries <i>Section 5 of Forex Investment Business Code of Conduct</i>					
13.4.1	Is the FSP licensed for subcategory 2.13?					
13.4.2	If the answer to question 13.4.1 is YES – questions 13.4.2.1 to 13.4.2.29 must be answered					
13.4.2.1	Does the FSP render forex investment intermediary services as a regular feature of business?					
13.4.2.2	Provide full details of the clearing firms the FSP deals with as well as the name and contact details of the Regulator in a separate annexure and indicate annexure number in column 5.					
13.4.2.3	In a separate annexure, provide a list of the product suppliers and the countries they are					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	domiciled in as a separate annexure and indicate annexure number in column 5.					
13.4.2.4	Does the FSP deal on behalf of clients by means of margin trading?					
13.4.2.5	<i>If the answer to Question 13.4.2.4 is YES –</i> In a separate annexure, provide full details of the procedures that the FSP has put in place to ensure that the minimum leverage required does not exceed widely used industry norms. Indicate the annexure number in column 5.					
13.4.2.6	Did the FSP amend the specimen mandate/s substantially during the reporting period without prior written approval of the Registrar?					
13.4.2.7	If the FSP amended any specimen mandates during the reporting period, did the Registrar approve such substantial amendments?					
13.4.2.8	Does the FSP have procedures in place to ensure that it only deals with clients in respect of whom mandates, which comply with section 5 of the said Code, have been obtained?					
13.4.2.9	In a separate annexure, provide full details of the trading system or platform that the FSP utilises, and indicate the annexure number in column 5.					
13.4.2.10	Does the FSP have procedures in place to ensure that client accounts are not churned?					
13.4.2.11	Does the FSP have clients in respect of managed accounts? If the answer is YES, the Statistical Information Sheet (Section 7) must be completed.					
13.4.2.12	Does the FSP take reasonable steps to ensure that the forex investment product to be intermediated on is suitable for clients?					
13.4.2.13	<i>If the answer to Question 13.4.2.12 is YES-</i> In a separate annexure, provide details of the procedures that the FSP has put in place to ensure that the client's financial situation, financial product experience and objectives are obtained. Indicate the annexure number in column 5.					
13.4.2.14	In a separate annexure, provide details of the procedures that the FSP has put in place to ensure that clients are provided, in a comprehensible and timely manner, with information regarding investments made, market practices and the inherent risks of forex investment					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
	products including currency fluctuations. Indicate the annexure number in column 5.					
13.4.2.15	In a separate annexure, provide details of the procedures that the FSP has put in place to ensure all fees, charges, costs and commission payable to the different stakeholders involved in the investment/trading process are disclosed fully and adequately. Indicate the annexure number in column 5.					
13.4.2.16	Did the FSP comply with exchange control legislation (including tax legislation) when dealing with forex investment business?					
13.4.2.17	<i>If the answer to Question 13.4.2.16 is NO –</i> Provide full details of any instances of non-compliance found as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure. Indicate the annexure number in column 5.					
13.4.2.18	Is the FSP licensed to render financial services relating to investments in foreign products issued by foreign product suppliers and foreign currency?					
13.4.2.19	Did the FSP provide clients with the name and contact details of the clearing firm?					
13.4.2.20	Did the FSP provide clients with name and contact details of the Regulator under whose jurisdiction the trading activity of the clearing firm or foreign forex services provider takes place?					
13.4.2.21	In a separate annexure, provide full details of the trading system or platform that the FSP utilises, and indicate the annexure number in column 5.					
13.4.2.22	Does the FSP directly obtain reports and statements from the clearing firm and make them available to clients in hard copy or by electronic means?					
13.4.2.23	If the statements referred to above are generated by clearing firm, can the contents thereof be altered by the FSP before being made available to clients or viewed online?					
13.4.2.24	In a separate annexure, provide an explanation setting out how clients' funds held offshore will be treated if the FSP is wound up, liquidated or ceases to conduct business. Indicate the annexure number in column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop-mental area	Annexure number
13.4.2.25	Did the FSP, through a power of attorney or discretionary dealing authority, receive or handle clients' funds on behalf of a clearing firm during the reporting period?					
13.4.2.26	<i>If the answer to Question 13.4.2.25 is YES –</i> Were clients' funds held separately from own funds and were they easily identifiable during the reporting period?					
13.4.2.27	Does the FSP have a full discretion to trade or intermediate client's trading accounts?					
13.4.2.28	<i>If the answer to Question 13.4.2.27 is YES –</i> In a separate annexure, provide a copy of the written specimen mandate utilised by the FSP. Indicate annexure number in column 5.					
13.4.2.29	Does the FSP ensure that a foreign forex service provider which holds investments on behalf of clients maintains insurance cover to guard against risk of loss due to fraud, dishonesty and negligence?					
SECTION 4 – HEALTH SERVICES BENEFITS						
14	Accreditation under section 65(3) of Medical Schemes Act, 1998 Section 8(7)(e) of the Act					
14.1	Is the FSP licensed to render financial services relating to health services benefits?					
14.2	<i>If the answer to Question 14.1 is YES – questions 14.2.1 to 14.2.3 must be answered</i>					
14.2.1	Was the accreditation of the FSP in terms of section 65(3) of the Medical Schemes Act, 1998, during the reporting period suspended, or withdrawn, or did it lapse? Please provide details of any suspension, withdrawal or lapse as a separate annexure to the report and indicate the annexure number in column 5.					
14.2.1.1	<i>If the answer to Question 14.2.1 is YES –</i> Was a profile change request submitted to the Registrar in order for the health services subcategory to be removed from the FSPs licence?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
14.2.2	The details of the accreditation with the Council for Medical Schemes (ORG numbers for entities and BR numbers for key individuals) must be completed on the Statistical Information Sheet (Section 7).					
14.2.3	Does the FSP have any corporate clients? If the answer is YES, the Statistical Information Sheet (Section 7) must be completed.					
SECTION 5 – HEDGE FUND FINANCIAL SERVICES PROVIDERS						
15	Does the FSP manage assets of a hedge fund?					
16	If the answer is to Question 15 is YES, Questions 17.1 to 23.11 must be answered and Section 7.8 of the Statistical Information Sheet must be completed in full.					
17	Key individuals and/or representatives					
17.1	Has there been a change in key individuals and/or representatives involved in rendering financial service to hedge funds during the reporting period?					
17.2	If the answer to Question 17.1 is YES – Did the FSP inform the Registrar of such changes?					
17.2.1	If the answer to question 17.2 is NO - In a separate annexure, provide details of changes in key individuals and/or representatives as well as reasons for not informing the Registrar of such changes, Indicate the annexure number in column 5.					
18	Determination of Fit and Proper Requirements					
18.1	If any changes occurred in key individuals and/or representatives without informing the Registrar, list the names and experience of the Key Individuals, representatives and juristic representatives in respect of their particular hedge fund strategy in a separate annexure. In the case of juristic representatives, list the key individuals of the juristic representatives and all natural persons rendering financial services on behalf of the juristic representative). Indicate the annexure number in column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
18.2	Does the FSP have procedures in place to ensure that representatives and key individuals of representatives are competent to render financial services to hedge fund portfolios, taking into account the requirements of the Determination of Fit and Proper Requirements?					
19	Code of Conduct for Discretionary FSPs, 2003 and Notice on Hedge Fund FSP Disclosures, 2008					
19.1	Did you (compliance officer) perform monitoring procedures to ensure that the hedge fund FSP complied with paragraph 8A (1) to (4) of the Code of Conduct for Discretionary FSPs, 2003 for the reporting period?					
19.2	<i>If the answer to question 19.1 was YES –</i> If non-compliance with paragraph 8A(1) to 8A(4) was identified during monitoring procedures please provide the details of such non-compliance as well as the steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure. Indicate the annexure number in column 5.					
19.3	Did you (compliance officer) perform monitoring procedures to ensure that the risk disclosure document as stipulated in paragraph 8A.(2)(b) of the Code of Conduct for Discretionary FSPs , 2003 and Notice on Hedge Fund FSP Disclosures, 2008 has been included in the mandate?					
20	Financial products and underlying assets					
20.1	Did any change occur during the reporting period in respect of the financial products that comprise the hedge fund portfolios of the FSP?					
20.1.1	<i>If the answer to question 20.1 is YES -</i> In a separate annexure, list all financial products that comprise the hedge fund portfolios of the FSP. Indicate the changes that were made to the hedge portfolios. Indicate the annexure number in column 5.					
20.2	Are there any over the counter products in the hedge fund portfolios of the FSP?					
20.2.1	<i>If the answer to question 20.2 is YES –</i> Provide a list of the over the counter products in a separate annexure. Indicate the annexure number in Column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
21	Structure of Hedge Fund FSP					
21.1	Did any change occur on the structures that are used to contain or house the hedge fund portfolios since the last reporting period?					
21.1.1	<i>If the answer to question 21.1 is YES -</i> In a separate annexure, provide details on the change of structure. Indicate the annexure number in column 5.					
21.2	In a separate annexure, outline the process followed in respect of flow of funds from the time when the client makes a deposit to when the funds are utilised by the portfolio manager. Indicate the annexure number in column 5.					
22	Risk management <i>Part IX of General Code of Conduct</i>					
22.1	Does the Hedge Fund FSP have a risk management plan in place in accordance with Part IX of the General Code of Conduct describing the risk management process in respect of the hedge fund management business?					
22.1.1	<i>If the answer to Question 22.1 is NO –</i> In a separate annexure, indicate the steps that the FSP has taken to put the risk management plan in place. Indicate the annexure number in column 5.					
22.2	Did the FSP disclose the risks as published in the <i>Notice on Hedge Fund FSP Disclosures, 2008</i> in respect of hedge funds to its investors in the hedge fund portfolios at all times during the reporting period?					
22.3	Did the person(s) responsible for risk management of hedge fund portfolios change during the reporting period?					
22.3.1	<i>If the answer to question 22.3 is YES -</i> In a separate annexure, provide details (Names, ID numbers, qualifications and experience) of the person(s) responsible for risk management of hedge fund portfolios. If the function is outsourced, provide full details of the entity to which it is outsourced as well as the details of the responsible persons within the outsourced company. Indicate the annexure number in column 5.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
23	General					
23.1	Did the person(s) responsible for the administration of hedge fund portfolios change during the reporting period?					
23.1.1	<i>If the answer to question 23.1 is YES -</i> In a separate annexure, provide full details (names, ID numbers, qualifications and experience) of the person(s) responsible for the administration of the hedge fund portfolio. If the function is outsourced, provide full details of the entity to which it is outsourced as well as details of the responsible person(s) at the outsourced party. Indicate the annexure number in column 5.					
23.2	Did the person(s) responsible for the valuations of the hedge fund portfolios change during the reporting period?					
23.2.1	<i>If the answer to question 23.2 is YES -</i> In a separate annexure, provide details (Names, ID numbers, qualifications and experience) of the person(s) responsible for the valuation of the hedge fund portfolios. If the function is outsourced, provide full details of the entity to which it is outsourced, as well as details of responsible person(s) at the outsourced party. Indicate the annexure number in column 5.					
23.3	Did the FSP provide valuations during the reporting period for any instruments to the fund administrators which, to the best of the FSP's knowledge, are relied upon by the administrator in valuating the fund?					
23.4	In a separate annexure, indicate the name(s) of the auditing firm(s) that signed the most recent audit opinion. Indicate the annexure number in column 5.					
23.5	In a separate annexure, indicate the name(s) of prime broker(s) used during the reporting period. Indicate the annexure number in column 5.					
23.6	In a separate annexure, indicate the name(s) of third party administrator(s) used during the reporting period. Indicate the annexure number in column 5.					
23.7	In a separate annexure indicate the hedge fund strategies utilised during the reporting period.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
23.8	Have any changes occurred in the operational ability of the FSP during the reporting period?					
23.9	<i>If the answer to Question 23.8 is YES –</i> In a separate annexure, attach an updated Form 15B (available as part of the Application form), clearly indicating the changes in operational ability.					
23.10	Did the Registrar approve all specimen mandate/s of the hedge fund portfolios used during the reporting period?					
23.10.1	<i>If the answer to Question 23.10 is NO –</i> Attach a copy of the mandate/s to be approved as a separate annexure and indicate the annexure number in column 5.					
23.11	Did the FSP breach their mandate during the reporting period? If YES – complete the relevant information on the Statistical Information Sheet (Section 7.9)					

[illegible]

Comments

Annexure number

SECTION 7 – STATISTICAL INFORMATION SHEET

7.1 REPRESENTATIVES AT REPORTING DATE

TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMBER OF REPRESENTATIVES/KEY INDIVIDUALS
Number of representatives	4.1	
Number of representatives who have enrolled for and passed the First Level Regulatory Exam (RE 1)	4.6.2	
Number of representatives rendering services under supervision as contemplated in paragraph 3 of the Exemption of Financial Services Providers as regards the Exemption of Services under Supervision in terms of Requirements and Conditions, 2008	4.7.1	
Number of key individuals and representatives that acted as supervisors in respect of services under supervision	4.7.1	

7.2 INSURANCE COVER	RELEVANT QUESTION NUMBER	CURRENCY	EXTENT OF COVER (NUMERIC AMOUNT)
Professional Indemnity Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	5.1		
Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	5.2		
Guarantees as contemplated in section 13 of the General Code of Conduct	5.3		

7.3 COMPLIANCE FUNCTION		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	DETAILS
Number of reports issued to the FSP on the rendering of financial services	6.9	
Number of visits to the business premises, business units and / or branches of the FSP during the reporting period in order to perform monitoring procedures	6.10	
Number of visits to the business premises, business units and / or branches of the FSP's representatives during the reporting period in order to perform monitoring procedures	6.11	
Name of compliance officer appointed in terms of Section 43(b) of FICA.	6.12	
Identity Number of compliance officer appointed in terms of Section 43(b) of FICA.	6.12	

7.4 CONFLICT OF INTEREST		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NAME(S) OF PRODUCT SUPPLIER(S)
Name of the product supplier(s) from which an immaterial interest exceeding an aggregate of R1 000 was received	8.1.5	

7.5 GENERAL CODE OF CONDUCT		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	PERCENTAGE
Provide the percentage (%) of new financial transactions done as a single needs analysis.	8.4.3.5	

7.6 ASSETS UNDER MANAGEMENT (DISCRETIONARY FSP)

Total market value of assets under management for the following type of clients:	Relevant question number	Local (Rand amount)	Foreign (Rand amount)	Total (Rand amount)
Private clients (individuals or entities not listed below)	12.5.1			
Retirement funds	12.5.1			
Collective Investment Schemes	12.5.1			
Long-term Insurers	12.5.1			
Short Term Insurers	12.5.1			
Hedge fund clients (breakdown to be provided in Section 7.9 of this sheet)	12.5.1			
Other (Please specify)	12.5.1			

7.7 FOREX AUTHORISED FSPs

TYPE OF INFORMATION REQUIRED	QUESTION NUMBER IT RELATES TO	DETAILS
Number of clients at reporting date in respect of managed accounts	13.4.2.11	

7.8. HEALTH SERVICES BENEFITS

TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	DETAILS
Key individual(s) accreditation number(s) with the Council for Medical Schemes [BR number(s)]	14.2.2	
FSP accreditation number with the Council for Medical Schemes (ORG number)	14.2.2	
Percentage of client base that are corporate clients	14.2.3	

7.9 HEDGE FUND FSPs

TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMERIC AMOUNT
Number of times that the FSP breached their mandate during the reporting period.	23.11	

COMPULSORY TABLE FOR COMPLETION:

Total market value of assets under management at reporting date for each of the following type of hedge fund clients:	Local (Rand amount)	Foreign (Rand Amount)	Total (Rand Amount)
Trusts			
Partnerships			
Companies			
Other			
TOTAL			

COMPULSORY TABLE FOR COMPLETION:

Total market value of assets under management at reporting date for the following type of hedge fund clients:	Local (Rand amount)	Foreign (Rand amount)	Total (Rand amount)
Private clients (Individuals or entities not listed below)			
Retirement funds			
Collective Investment Schemes			
Long-term Insurers			
Short-term Insurers			
Fund of hedge funds			
Other (Please specify)			
TOTAL			

COMPULSORY TABLE FOR COMPLETION:			
Total market value of assets under management at reporting date for each of the following type of hedge fund legal structures:	Local (Rand amount)	Foreign (Rand amount)	Total (Rand amount)
Trusts			
Partnerships			
Debenture			
Other (Please specify)			
TOTAL			

COMPLIANCE REPORT COMPLETED AND SIGNED BY FSP

Name of FSP

FSP number

Name of key individual

ID number of key individual

Date appointed as key individual

Signature

Date

COMPLIANCE REPORT COMPLETED AND SIGNED BY COMPLIANCE OFFICER(S)

Name(s) of compliance officer(s) of FSP

ID number(s) of the compliance officer(s)

Name(s) of the compliance practice(s) (if applicable)

Reference number(s) of compliance officer(s)/practice(s)

Signature(s) of compliance officer(s)

Date

Telephone number

Fax number

E-mail address

Please note that all unsigned reports will be regarded as “Not Submitted”.

DECLARATION SIGNED BY COMPLIANCE OFFICER(S) SUBMITTING COMPLIANCE REPORT

Compliance report in terms of section 17(4) of the Act by compliance Officer(s) for the reporting period _____
(insert date) until _____ (insert reporting date).

I/we _____ compliance officer(s)) hereby report as follows as regards compliance by
_____ (insert full name of FSP and FSP number) and any
representative of the FSP with the Act, for the reporting period.

Having completed the attached annual compliance report for the FSP, I/we hereby confirm that, to the best of my/our knowledge and ability all the information contained in the attached annual compliance report is true and correct.

I/we are aware that the information contained in the attached annual compliance report may be subject to verification by the Registrar of Financial Services Providers, and should I/we knowingly submit false, incorrect or misleading information to the Registrar, this may impact on my/our compliance with the fit and proper requirements with regard to personal character qualities of honesty and integrity as determined by section 8(1) of the Act.

Signed on _____ (day) of _____ (month) _____ (year).

Name(s) of compliance officer(s): _____

Signature(s): _____