

**BOARD NOTICE 175 OF 2011****FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****SUSPENSION OF AUTHORISATION**

I, German Emmanuel Anderson, the Deputy Registrar of Financial Services Providers, hereby make known under section 9(2)(d) of the Financial Advisory and Intermediary Services Act, 2002 ("the FAIS Act"), that I have suspended under section 9(1) of the Act the licences of the following licensees with effect from the dates referred hereunder:

<b>LICENSEE</b>	<b>FSP NO.</b>	<b>EFFECTIVE DATE</b>	<b>REASONS FOR SUSPENSION</b>
A & D Finansiele Konsultante BK t/a Dialsure Makelaars	11962	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
A&I Motor Investment CC t/a Alans Auto	11462	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
A.P. Elite Insurance Brokers CC	17601	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Abbu Benitsius Insurance Brokers CC	27947	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Abdul Aziz Hamekar t/a Has And Associates	30900	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Abdulhamid Adam Banderker t/a Banderker's Consulting	9949	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Abduragmaan Davids t/a OM Financial Planners	7613	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Abram Chiloane t/a Nuday	22268	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Abrie Nel t/a Abrie Nel Makelaars	9951	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Academic Insurance Brokers (Pty) Ltd	8501	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
ACE Insurance Limited	27176	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Action Risk Managers CC	7292	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Actus Versekerings Makelaars BK	18105	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Adina Insurance Brokers CC	31229	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Adnoh Trading CC t/a Honda Auto PE	18523	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Advanced Allocation Investors CC	3918	15 September 2011	Contravention of section 15A of the Financial Services Board Act, 1990 ("the FSB Act"), and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Advanced Estates & Financial Services (Pty) Ltd	37440	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Adviceatwork (Pty) Ltd	7677	28 September 2011	Contravention of section 17(4) of the FAIS Act
Affiliated Insurance Brokers (Pty) Ltd	37672	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Africa Properties East Coast CC t/a East Coast Brokers	36355	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
African Dawn Capital Limited	37541	12 October 2011	Contravention of section 17(4) of the FAIS Act
Afric-Cover Insurance Brokers (Pty) Ltd	38746	28 September 2011	Contravention of section 19(3) of the FAIS Act
AFS Short Term Insurance Brokers CC	16480	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ahmed Rajub t/a Hak Trust	9052	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
AIK Brokers CC	31119	28 September 2011	Contravention of section 17(4) of the FAIS Act
Air Business Logistics CC	29243	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

AJ Fuhri t/a Fubramar Ondernemings	13349	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
AJK De Stadler & Associates CC t/a De Stadler & Associates	12398	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Al Medina Motors (Pty) Ltd t/a Fouche Motors	18780	28 September 2011	Contravention of section 17(4) of the FAIS Act
Alan Ferguson t/a Alan Ferguson Brokers	15895	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Alan Fisher And Associates CC	11841	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Alan John O'Brien t/a O'Brien And Associates	17801	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Alben South Auto (Pty) Ltd	18667	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Alexander Madoda Siquaza	13067	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Alexander Nhlanhla Mbuyiselwa Shoji t/a Uphoko Financial Services	39565	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Alfred Mavimbela	36632	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ali Mohamed Ebrahim	15249	12 October 2011	Contravention of section 17(4) of the FAIS Act
Allegiance Consulting (Pty) Ltd	16718	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Allen Horne Properties & Investment Management CC t/a Allen Horne Consulting	7681	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Alpine Commercial Vehicles CC	26440	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Amache Financial And Services CC	26157	19 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Amrak Service Station CC t/a Roundabout Motors	31877	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Andre Claassens	19141	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Andrew Herweg Brokers CC	15039	12 October 2011	Contravention of section 17(4) of the FAIS Act
Andrew Naidoo t/a Anfin Financial Services	14673	12 October 2011	Contravention of section 17(4) of the FAIS Act
Anita Leeuwner	11897	12 October 2011	Contravention of section 17(4) of the FAIS Act
Anna-Mari Schoultz	26844	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Annamie Nortje	8175	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Anthony Kruger	37855	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Anthony Lennard Shapiro	21222	12 October 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Anthony Nathan Moses	11041	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Antoinette Van Der Walt	30730	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Anton Jakobus Jacobs t/a A And A Funeral Services	19635	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Anton Johan Venter t/a Naboom Toyota	21561	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Anton Koch Financial Planning CC	35789	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Anton Van Zyl t/a Anton Van Zyl Makelaars	12819	12 October 2011	Contravention of section 17(4) of the FAIS Act
Aristo Associate BK	14796	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Arrmo CC	16663	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Arrow Of Success Trading And Projects	40653	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Arthur Getz t/a Arthur Getz & Associates	11847	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Arvind Rabindernath Bechan t/a Lotus Insurance Brokers	12804	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Assethouse Limited	14376	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Atlantic Hedge ( Pty ) Ltd	25922	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Atwork Business Consultants CC	32179	28 September 2011	Contravention of section 19(3) of the FAIS Act
Aubrey Dobson t/a ALD Financial Services	17368	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Aurum Brokers (Pty) Ltd	13250	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Auto Junction CC	18429	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Auto Strada	19770	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
B2C Financial Solutions CC	31265	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bacarac Trading 109 (Pty) Ltd t/a Tombco Tombstone Club	37364	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Badisa Insurance Brokers CC	40872	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bakgwadiba Funeral Undertakers CC	37674	19 September 2011	Contravention of section 19(3) of the FAIS Act
Barclays International Fund Managers Limited t/a Barclays International Managed Funds	9720	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Barend Johannes Conradie	21545	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Barend Johannes Sahd t/a Metcalf, Sahd & Co	5916	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Barry John Gibbs t/a Gibbs And Associates	7806	12 October 2011	Contravention of section 17(4) of the FAIS Act
Bartholomew Kubedi t/a BMK Brokers	34342	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Baybreeze Trading 507 CC t/a M&R Financial Services	34899	28 September 2011	Contravention of section 17(4) of the FAIS Act
BDO Employee Benefits (Pty) Ltd	15751	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Becher And Carlson Sa (Pty) Ltd	10813	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Beineke Makelaars BK	25258	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Belinda Wiese t/a Belinda Wiese Brokers	30056	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bellso Financial Services CC	10999	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bessinger Financial Planning CC	12215	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bettersure (Pty) Ltd	24015	12 October 2011	Contravention of section 17(4) of the FAIS Act
Beverley Anne Barkhuizen t/a Beverley Barkhuizen Investment & Assurance	8436	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bhekumuzi Dube	17809	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Big Apple Motors CC	31481	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bissett Insurance Consultants CC	40865	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

BJM Insurance Brokers (Pty) Ltd t/a BJM Insurance Brokers	7311	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Blue Chip Financial Service CC	33922	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
BM Consultants CC	9316	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
BMMT General Trading CC	39550	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bongani Brian Mkhize t/a B.B. Mkhize Brokers	22995	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Bongile Tallman Ngqasa	31647	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bonnsurance Brokers CC	17567	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Bonrisk (Pty) Ltd	23704	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Booty Elias Matshego	20359	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Botlhe Financial Planners CC	35111	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Brad N Sam And Associates CC t/a RI Katzen Healthcare Consultants	8144	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bradley Winston Petersen t/a Bradley Petersen & Associates	7099	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Brainwave Projects 1937 CC t/a Communications 101	36554	28 September 2011	Contravention of sections 17(1), (4) and 19(2)(b)(iii) of the FAIS Act
Brian Harris t/a Cape Financial Planners	12132	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Bright Star Risk Cover CC	37483	12 October 2011	Contravention of section 17(4) of the FAIS Act
Brinksure Financial Services CC	12999	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Browns` Insurance Brokers CC	12696	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Business Empowerment Experts (Pty) Ltd	15792	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Buyisiwe Junerose Gurnede t/a Buyi's Financial Services	39421	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
C & J Trust t/a Auto Logic	10218	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
C Boshoff t/a Chris Boshoff Makelaars	9962	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Camber Trading No. 53 CC t/a Camber Trading Risk Solutions	40743	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Cape Structured Products (Pty) Ltd	38935	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Capital 360 (Pty) Ltd	24795	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Capital Ascent (Jhb) Financial Services (Pty) Ltd	34726	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Capital Sense (Pty) Ltd	31431	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Capitau Investment Management Limited t/a Capitau Fund Management	37937	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Caresure BK	29421	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Carol Momberg Brokers CC	16859	12 October 2011	Contravention of section 17(4) of the FAIS Act
Carol Ntombikayise Ndlovu t/a Carol Ndlovu Enterprise	29075	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Carolina Louisa Brummer t/a CL Brokers	20520	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Carpe Securitatem CC	15027	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act



Cassie Heunis Brokers CC	15210	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Castom Burials CC t/a Goodwill Burial Society	20980	28 September 2011	Contravention of section 17(4) of the FAIS Act
CBS Financial Services CC	21865	19 September 2011	Contravention of section 15A of the FSB Act, and section 19(2)(b)(iii) of the FAIS Act
Cecil De Villiers	11911	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Cecil Dougan And Associates CC t/a Claim Brokers	14098	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Central Motors Lichtenburg t/a Mia Motors & Central Motors Litchtenburg	8403	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
CGK Motors CC t/a Alpine Motors	23792	28 September 2011	Contravention of section 17(4) of the FAIS Act
Chaitram Chander Singh t/a Medmark Brokers	29923	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Charl Pierre Theron Steenkamp t/a Chatron Makelaars	15004	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Charles Eric Christians t/a Charles Eric Christians	26091	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Charles Marais t/a Charlie Marais & Associates	22032	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Charteris & Barnes CA (SA)	23237	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Cheryl-Anne Lawson t/a Cheryl Lawson Financial Consultants	27411	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Chris Basson	12026	12 October 2011	Contravention of section 17(4) of the FAIS Act
Chris Gainsford t/a Gaincor	28666	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Chris Smith Hyper Motors (Pty) Ltd t/a Hypermotors	25991	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Christian Hans Heinrich Hunsinger	23672	28 September 2011	Contravention of section 17(4) of the FAIS Act
Christo Jan Naude t/a Chrema Brokers	17625	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Christoffel Benjamin Nel t/a Menel Brokers Financial & Insurance Brokers	7502	12 October 2011	Contravention of section 17(4) of the FAIS Act
Christopher William Borchers	19873	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Christopher Zamani Mthiyane t/a Siyakhula	22988	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ciba Consulting CC	26387	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Circle Seven Trading 14 CC t/a Circle Seven Brokers	36695	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
CJ Rademeyer Eiendomme BK t/a Radie Eiendomme	10928	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Claimswise Consultancy (Pty) Ltd	27410	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Clark Edward Ellis t/a Solutions 2 Wealth	41072	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Classic Insurance Brokers CC	20058	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Clear Waves Trading 10 CC t/a Nelspruit Caravan And Camping	11355	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Clive Peter Ucko t/a Peter Ucko & Associates	16593	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
CM Maloko Assurance Brokers CC t/a Cedric Makompule Maloko	9964	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Colin Alexander Nicholls t/a Accredited Financial Planners	32448	12 October 2011	Contravention of section 17(4) of the FAIS Act

Colin Malthoo And Associates CC	12131	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Collin Beekhan t/a Anamik Finance	20847	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Commercial & Transport Consultants CC t/a CTC	14811	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Contractors Contingent Risk Underwriting Mangers (Pty) Ltd	35347	12 October 2011	Contravention of section 17(4) of the FAIS Act
Cornelius Johannes Botha	13365	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Cornelius Johannes Van Zyl t/a Bettersure	17619	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Cornelius Julie t/a Noord En Weskaap Begrafnisdienste	17955	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Cornelius Pieter Paul Snyman	12982	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Costantinos Tripodis t/a Costa Tripodis	12433	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Credo Consilium (Pty) Ltd	14029	12 October 2011	Contravention of section 17(4) of the FAIS Act
Crescent Administrators And Consultants CC	7355	12 October 2011	Contravention of section 17(4) of the FAIS Act
Croc,S Business Brokers CC t/a Eazy Grow International	24327	12 October 2011	Contravention of section 17(4) of the FAIS Act
Custom Freight Management (Pty) Ltd t/a Worldwide Logistics	10522	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Cybersure Consultants (Pty) Ltd t/a Cybersure	6736	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Cynergy Life Brokers CC	16370	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Cynthia Tsuela t/a Cindy Financial Services	12435	22 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act

D & D Makelaars CC	17931	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
D Miller And Associates Financial Services CC	9204	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
D&M Associates CC	13647	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Dakie Mahiwa t/a Ipelegeng City Funeral	10908	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Damar Motors CC	27618	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Dan Fraser's Financial Services CC	12822	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Danie Hollenbach Motors (Pty) Ltd	22732	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Daniel Christiaan Gerber	11909	12 October 2011	Contravention of section 17(4) of the FAIS Act
Darbyshire Williams Brokers CC	28277	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Darmar Health Care Services CC	11383	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Darryl John Thorburn t/a Thorburn Brokers	7793	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
David Jamieson	29420	12 October 2011	Contravention of section 17(4) of the FAIS Act
David Landon Fletcher t/a David L Fletcher Financial Brokers	18372	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Dawson And Dawson (Pty) Ltd t/a Demo Cars	18488	28 September 2011	Contravention of section 17(4) of the FAIS Act
Day 1 Health (Pty) Ltd	11319	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
DCT Trading CC t/a Dodo Financial Brokers	38001	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

De Wet De Villiers Benefit Administrators CC	8498	28 September 2011	Contravention of section 17(4) of the FAIS Act
Dealers Indemnity (Pty) Ltd	7317	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Dean Field Strachan	34252	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Debbie Du Toit	15103	12 October 2011	Contravention of section 17(4) of the FAIS Act
Deon Kleyn t/a Autoworld	22730	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Derek Anthony Hodson t/a Derek Hodson Financial Consultant	8559	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Dialsure Brokers	11961	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Diana Patricia Weale t/a Diana Weale & Associates	21877	12 October 2011	Contravention of section 17(4) of the FAIS Act
Dick Sher And Associates CC t/a Dick Sher And Associates	8795	12 October 2011	Contravention of section 17(4) of the FAIS Act
Difatanaga Brokers CC	35102	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Dijon Financial Services CC t/a Finlogic	21739	28 September 2011	Contravention of section 17(4) of the FAIS Act
Dirk Hercules Coetzee t/a Dirk Coetzee Makelaars	40849	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Discovery Micro Financial Cape Town South CC t/a DMF Cape Town South	33231	12 October 2011	Contravention of section 17(4) of the FAIS Act
DJ Mlalane Investment CC t/a DJ Brokers	18101	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
DI Makelaars CC	34584	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
DNP Financial	29716	12 October 2011	Contravention of section 17(4) of the FAIS Act

Drakensberg Financial Services Maclear CC t/a Personal Trust	37533	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Duncan Cameron Mackenzie	19921	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Dynamic Creative Solutions CC	28668	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
East Ridge Motor (Pty) Ltd t/a Eastview	39541	12 October 2011	Contravention of section 17(4) of the FAIS Act
Eastcape Medical Supplies CC t/a APBL Services	21464	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ebrahim Ismail t/a Ebrahim Ismail Insurance Brokers	11317	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Edric Trust (Pty) Limited	18726	12 October 2011	Contravention of section 17(4) of the FAIS Act
Edward David Forsyth t/a Lakota Financial Services	34979	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Edwin Mzwakhe Ngomane t/a EM Ngomane Brokers	22098	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Eldorado Finansieringsmaatskappy (Edms) Bpk	8009	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Elizabeth Wheeler t/a In Touch	15670	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Elna Elizabeth Visagie	8075	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Eluthandweni Construction And Other Services CC	39102	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Emmerencia Catherina Tarlton t/a Rensa Tarlton Versekeringsmakelaars	5773	12 October 2011	Contravention of section 17(4) of the FAIS Act
Erick Hattingh	17053	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ernest Bernard Conn Lahner t/a Fingroup & Associates	39122	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Eternal City Trading 578 CC	38924	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ettienne Anton Steyn	10481	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Evelyn Jooste t/a Brokerlogic	16912	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Expanded Risk Portfolio Managers	21271	28 September 2011	Contravention of section 19(3) of the FAIS Act
Expects Financial Stars CC	19700	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
F.B.S. Assistance (Pty) Ltd	10169	12 October 2011	Contravention of section 17(4) of the FAIS Act
Fabian Mike Crouch t/a Crouch Broker	33177	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Family Wealth Creator CC	39056	12 October 2011	Contravention of section 17(4) of the FAIS Act
Farouk Gani t/a Farouk Gani Insurance Consultants	9986	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ferdi Smit t/a Ferdi Smit Versekerings Makelaars	14039	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ferdinand Kritzing Mey t/a Arch Brokers	12442	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Fern Funerals CC	14821	28 September 2011	Contravention of section 19(3) of the FAIS Act
FIM Distribution Services (Pty) Ltd	34305	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Finance In Motion (Pty) Ltd t/a FIM First Life	17015	28 September 2011	Contravention of section 17(4) of the FAIS Act
Financial & General CC	12960	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Fincede Brokers BK	13449	12 October 2011	Contravention of section 17(4) of the FAIS Act

Fincor Advisors CC	31096	15 September 2011	Contravention of section 15A of the FSB Act, and section 19(2)(b)(iii) of the FAIS Act
Fincure Financial Services	6289	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Finsight CC	10727	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Fintecon CC	10490	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
FIS Funeral Investment Services CC t/a FIS Funeral	15523	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Fismer t/a Price Life	10988	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Flipseker Makelaars BK	10618	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Florence Beatrice Van Der Merwe	14435	12 October 2011	Contravention of section 17(4) of the FAIS Act
Ford & Van Niekerk (Pty) Ltd	15329	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ford Fumbile Fumba t/a FF Brokers	20541	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Fortress Fund Management (Pty) Ltd	554	13 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Francis Mutuku Mavoko t/a Sun Financial Services	32855	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Frans Swanepoel Brokers	7168	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Fred Frolicks t/a Fred Frolicks Brokers	10827	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Fred Lovelock & Associates (Newcastle) CC t/a MSB	22405	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act



Frederick Wolfaardt	11946	12 October 2011	Contravention of section 17(4) of the FAIS Act
Freedom Financial Insurance Services CC	39139	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
G K Insurance Consultants And Risk Management Services CC	16930	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
GAD Eiendomme CC	21232	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Galbraith Healthcare CC	20957	12 October 2011	Contravention of section 17(4) of the FAIS Act
GAN Investments CC	41674	28 September 2011	Contravention of section 17(4) of the FAIS Act
Garden Route Chalets (Pty) Ltd t/a GRC Resorts	8861	28 September 2011	Contravention of section 17(4) of the FAIS Act
Garth Andrew Roberts t/a Garth Roberts And Associates	12163	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Gary Emery	11017	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Gary Van Zyl t/a Outsourcing Employee Benefits	15626	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Gataka Alex Khobo t/a KGA Brokers	26698	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
George Gideon Prinsloo t/a GG Prinsloo Makelaars	7449	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
George Jackson t/a George Jackson Insurance Brokers	6470	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Geral Van Jaarsveld	40503	12 October 2011	Contravention of section 17(4) of the FAIS Act
Gert & Maria Bothma Makelaars BK t/a Finwise Finansiele Adviseurs	20571	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Get To Gether Financial Institute CC t/a Nkosi's Financial Services	29273	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Gideon Johannes Struwig	12169	12 October 2011	Contravention of section 17(4) of the FAIS Act
Gillian Esme Tilling t/a Guardens Funeral Services	15395	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Global Corporate Brokers (Pty) Ltd	24445	28 September 2011	Contravention of section 17(4) of the FAIS Act
Global Pact Trading 451 (Pty) Ltd	31296	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Gold Prime Time CC	41537	28 September 2011	Contravention of section 17(4) of the FAIS Act
Golden Rewards 211 CC	14950	12 October 2011	Contravention of section 17(4) of the FAIS Act
Goldman Bosch Consultants CC	12450	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Govindamah Naidoo	8119	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Graaff Reineth Garages CC t/a Midland Auto	18699	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Graeme Leathes	18982	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Graham William Tharratt	21873	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Grayston Financial Services (Pty) Ltd	9208	12 October 2011	Contravention of section 17(4) of the FAIS Act
Greg Sheard t/a GPS Financial Services	37359	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Groenland Begraffissonderemers BK	17957	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
GTI Car Sales CC t/a Prestige Auto Sales	15143	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Gustav Ziehl t/a Gustav Ziehl Makelaars	7321	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
H&G Insurance Intermediaries (Pty) Ltd	14737	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hagan And Du Plessis Financial Services CC	8681	12 October 2011	Contravention of section 17(4) of the FAIS Act
Hamford (Pty) Limited	12194	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Hamish Leppan & Co (Pty) Ltd	9617	12 October 2011	Contravention of section 17(4) of the FAIS Act
Hanna Maria Marais t/a Marais Brokers Financial Services	11864	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Harrilall Investments CC t/a H&H Brokers	6469	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hassens Motors CC	11452	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Healthcor Projects (Pty) Ltd	17862	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Helden Maja Thabo t/a MGT Services	30736	20 September 2011	Contravention of section 15A of the FSB Act, and sections 17(1), (4) and 19(2)(b)(iii) of the FAIS Act
Helen Dimaketso More	41307	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Hemisphere Financial Consulting CC	24038	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hendrik Eduard Muller t/a Buks Muller And Associates	16319	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hendrik Van Zyl Finansiële Dienste (Pty) Ltd	14579	12 October 2011	Contravention of section 17(4) of the FAIS Act
Hendrika Johanita Curlewis t/a Parvati Brokers	17328	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hennie Combrinck & Sons Pensionfunds Consultants & Brokers	13463	12 October 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act

CC			
Hennox 92 CC t/a Nostradamus Consulting Services	22177	28 September 2011	Contravention of section 17(4) of the FAIS Act
Henque 1014 CC t/a Weirs Toyota	17843	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Henque 1354 CC t/a Stratus Brokers	8157	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Henry Nasson Kroneberg t/a Prosure Funeral Fund	13694	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hercules Philippus Van Heerden t/a Corporate Executive Consulting	12453	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Hermanus Joseph Kriel t/a Manie Kriel Insurance Brokers	17592	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hiacor Brokers CC	13473	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
High Rock Trading 102 CC t/a Qube Capital	30984	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Hooper Motors (Pty) Ltd t/a Hoopers	11371	12 October 2011	Contravention of section 17(4) of the FAIS Act
HPS Insurance Brokers CC	9164	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Hunkydory Investments 1023 CC t/a Symonds And Pengelly Auto's	22186	12 October 2011	Contravention of section 17(4) of the FAIS Act
IBS Connect CC	14304	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Icom Insurance Solutions (Pty) Ltd	5775	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
ID Twenty Four Seven CC	26047	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ignatius Mohan t/a Norman Mohan Insurance Brokers	32137	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

IIQ Konsultante (Edms) Bpk	14137	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ilifu Financial Services CC	20212	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ilse Van Wyk	8555	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Impahla Property & Financial Managers (Pty) Ltd	15083	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Improcare 133 CC t/a York Auto	31638	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Incorporated Asset Allocation (Pty) Ltd	15320	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Indepedent Portfolio Managers (Pty) Ltd t/a IPMG	11377	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Independent Insurance Brokers (Pty) Ltd	9074	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Inkwanzi Trust	38627	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Insuracom Investment Brokers CC	6918	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Insurance Solutions All Risks CC	28791	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Integral Insurance Brokers (Pty) Ltd	21430	12 October 2011	Contravention of section 17(4) of the FAIS Act
Intelligent Finance (Pty) Ltd t/a Int'l Fin	13640	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Interfin CC	11620	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
International Healthcare Consultancy (Pty) Ltd	22415	12 October 2011	Contravention of section 17(4) of the FAIS Act
Interstate Clearing 043 (Pty) Ltd t/a Johan Van Eck	14454	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Introvest 2000 CC	9564	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Investment Consulting And Trustee Services (Pty) Ltd t/a ICTS	25820	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Iphakade Investment Holdings (Pty) Ltd	18878	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Iquad Treasury Solutions (Pty) Ltd t/a Iquad Treasury Solutions (Pty) Ltd	40874	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Irene Noswazi Ntombikayise Nzimakwe	24044	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Irene Smal t/a Fish4insurance	26266	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Iser (Pty) Ltd	18829	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
I-Solve Management (Pty) Ltd	31685	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ivan Rubin t/a Interglobal Financial	17803	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Izak Johannes Venter	29955	12 October 2011	Contravention of section 17(4) of the FAIS Act
Izak Schoombie t/a Izak Schoombie Brokers	12725	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Izembe Trading 46 CC t/a Automated Computer Burea	25002	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
J & E McDonald Makelaars BK	15827	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
J En M Finansiele Dienste BK t/a Moto & General Brokers	16970	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
J.J. Kotze Makelaars BK	13469	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jack Siwela Brokers CC	20853	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Jacob Abraham Pretorius t/a Jaco Pretorius Retirement Fund Services	27793	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jacoba Martha Maria Venter t/a JMM Financial Services	20661	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jacobus Marthinus Prinsloo t/a Prinsloo Versekerings Makelaars	8314	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jacobus Nicolaas Cooper t/a Koos Cooper Makelaars	26041	12 October 2011	Contravention of section 17(4) of the FAIS Act
Jacomien White t/a Jacomien White Makelaars	17322	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jacqueline Amler t/a Amler Financial Services	34248	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jacqueline Hechter t/a Hechter Finansiele Adviseurs	25781	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
James Knee Chong	20382	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jan Gysbert Raubenheimer Botha	14257	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jan Hendrik Kruger	11792	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Janedhrie Moonsamy t/a Karma Direct	36117	12 October 2011	Contravention of section 17(4) of the FAIS Act
Janice Scholtz t/a Maxi Insurance Brokers	5817	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jansen Benjamin Van Rensburg t/a Allegro Finansiele Dienste	23085	12 October 2011	Contravention of section 17(4) of the FAIS Act
Jawirlall Ramburan Bechoo t/a Bechoos Funeral Services	10443	12 October 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
JD Funeral Parlour CC t/a JD Funeral	28516	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jeanine Yvette Beukes t/a JCA Brokers	12278	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Jean-Pierre Du Toit t/a JV Brokers	21422	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jeffrey Webber	31876	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jerry Munsamy And Associates CC t/a Legacy Insurance Brokers	9462	12 October 2011	Contravention of section 17(4) of the FAIS Act
JF Hillebrand South Africa (Pty) Ltd	8319	12 October 2011	Contravention of section 17(4) of the FAIS Act
JH Retief Transport CC	11648	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
JMT Executive Tax & Accounting Services CC	9014	12 October 2011	Contravention of section 17(4) of the FAIS Act
Jo Leon Eduard Van Oudvorst t/a E.Con Financial Services	12730	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johan Beck Versekerings En Beleggings Makelaars BK	8943	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johan Britz t/a JFB Financial Services	16494	12 October 2011	Contravention of section 17(4) of the FAIS Act
Johan Fredrich Weilbach t/a Fritz Weilbach Makelaars	14965	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johan Greyling	6242	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johann Frederick Van Zyl t/a JF Van Zyl Makelaars	8177	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johann Myburgh Swanepoel	15689	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johann Taljaard	30353	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johann Talmadge Van Heerden t/a Aim Employee Benefit Consultants	10894	12 October 2011	Contravention of section 17(4) of the FAIS Act



Johannes Adriaan Bester t/a Agricola Makelaars	34852	12 October 2011	Contravention of section 17(4) of the FAIS Act
Johannes Christoffel De Noon t/a Denco Portfolios	8786	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Jacobus Booyesen	13390	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Jacobus Marais	14307	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johannes Jacobus Nicolaas Horak t/a Jan Horak Brokers	11570	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Jurgens Venter t/a Jurie Venter Financial Services	19763	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Philippus Janse Van Rensburg t/a Jannie Janse Van Rensberg	13485	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Pieter Bothma t/a Johan Bothma Trust	8502	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johannes Van Wyk	17620	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Anthony Slauck t/a J Slauck & Associates	19202	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Cornick Investments t/a John Cornick Investments	8215	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Edward Stokes t/a Stocor Brokers	17301	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Geoffrey Ditchfield	11767	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Harry Winkler	15579	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Holdsworth	10015	29 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act

John Mcveigh t/a Shamrock Insurance Brokers	15428	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
John Petrides	21314	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
John Williams	9602	12 October 2011	Contravention of section 17(4) of the FAIS Act
John Woodard Reagh	16628	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Johnnie Geldenhuys Makelaars CC	11009	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Johnsure Investments CC t/a Financial Hub (JSI)	10014	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jonathan Andrew Jones	16979	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Jose Calazans Gomes Rebelo t/a Joe Rebelo Brokers	23143	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Jozef Hendrick Henning t/a Jozef Henning & Associates	15117	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Judith Dodds	8392	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Judy Marais Makelaars BK	29012	12 October 2011	Contravention of section 17(4) of the FAIS Act
K Stellenberg CC t/a George Funeral Home	17960	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Karin Olivier	35204	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Karmel Financial Services CC	29258	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Kashvita Business Solutions CC	18016	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Keegan Pretorius	21975	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Keith William Chapman t/a Virgo Brokers	16040	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Kendale Insurance Claims Consultants CC	26639	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Kgwadi Ya Motse Brokerage CC	38505	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Khanyisile Sylveria Sosibo t/a KS Brokers	38841	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Khula Enterprise Finance Limited	9901	28 September 2011	Contravention of section 17(4) of the FAIS Act
Khumalo And Matyolo Brokerage CC	41070	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Khuseleka Investments (Pty) Ltd	6910	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Kifiko Portfolio Management (Pty) Ltd	22804	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Kimabu Trading (Pty) Ltd t/a Compmed Medical Aid Services	17063	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Kirgo Capital (Pty) Ltd	26643	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Knowledge Simphiwe Dladla t/a KS Services Provider	35164	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Kobie Spangenberg en Genote (Edms) Bpk t/a K S G Makelaars	14826	28 September 2011	Contravention of section 17(4) of the FAIS Act
Kobus Meyer Brokers CC t/a KM Brokers	8364	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
KSM Risk And Insurance Management CC t/a Intergrated Risk Management	23479	12 October 2011	Contravention of section 17(4) of the FAIS Act
Kuhlesizame Trading And Projects CC t/a KTP Brokers	40249	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Kusasa Funeral Scheme (Pty) Ltd	28868	12 October 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act

Kutlwano Mohlala Investments (Pty) Ltd	38378	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
KW Insurance Brokers CC	15853	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Kwathu Insurance Brokers CC	18359	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
KZN Financial Consultants	18941	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
LTM Sipamla Brokers CC	12735	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
L.J.Wetselaar Financial & Pension Consultants	9322	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Lance Heathfield t/a Key Business Solutions	16967	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Laurence Scott Brickhill t/a Laurie Brickhill Financial Advisor	12842	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Laurence Sekitimane Mananyetso	31626	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
LBA Insurance Brokers CC	23896	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Leading Prospect Trading 25 (Pty) Ltd t/a Leading Prospect Financial Services	8586	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Leboea Holdings (Pty) Ltd	23773	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Leon Alfons Vanhoutte	16854	12 October 2011	Contravention of section 17(4) of the FAIS Act
Leon Jacobus Jaquire	18278	12 October 2011	Contravention of section 17(4) of the FAIS Act
Leon Margolis t/a Leon Margolis (CA) SA	13984	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Leon Willem George Zwarts	22627	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Les Assurance Brokers CC	18154	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Levator Wealth CC	31985	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Lezmin 1620 CC t/a Your Medical Aid Centre	17600	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Lindamanje Trading CC t/a Lindamanje Brokers	34478	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Lindsay Jean Hill	34010	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Lingold Investments CC t/a Aksons Prestige	18039	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Lionel Isaacs & Co (Pty) Ltd	13343	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Lita Ann Futeran t/a Equisure	20739	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
LJH Financial Services CC	26274	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
LNR Commercial Insurance Brokers (Pty) Ltd	18748	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Louise Margaret Truter t/a Louise Truter	7436	12 October 2011	Contravention of section 17(4) of the FAIS Act
Ltd CC	14267	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Lydia Lojwane Sekgobela t/a Phuthi Brokers	40413	12 October 2011	Contravention of section 17(4) of the FAIS Act
MH Motors CC t/a Burgersfort Toyota	25150	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
M.J Main Financial Broking Services CC	19037	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Mac's Insurance Brokers (Pty) Ltd	21973	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Macs Makelaars BK t/a Sanmac Trust Makelaars	13462	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Magajana Financial Services CC	38060	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Magavelana Insurance Brokers CC	23195	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Magnavolt 344 Trading CC t/a Composite Insurance Solutions	12606	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Maite Cecilia Pilusa t/a Maite Pilusa Insurance Brokers	11580	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Makopo Risk Solutions CC	29489	12 October 2011	Contravention of section 17(4) of the FAIS Act
Makspro AGT (Pty) Ltd t/a Active Auto	22434	28 September 2011	Contravention of section 17(4) of the FAIS Act
Malinda Llewelyn Nomvalo t/a Ntando Financial Services	38349	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mamepe Insurance Brokers CC	34255	12 October 2011	Contravention of section 17(4) of the FAIS Act
Mamonyenyane Aria Nkitseng t/a Ipolokeng Funeral Parlour	37319	15 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Mam's Insurance Brokers CC	6697	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mandlakhona Sihlesenkosi Koza t/a Isihle Financial Brokers	37407	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Manelly Risk Management CC	31849	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mangoegape Funeral Parlour CC	7958	28 September 2011	Contravention of section 19(3) of the FAIS Act
Manica Africa (Pty) Ltd	18607	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Maphatiane's Resoma CC t/a Reasoma	23118	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Maphoko Distributors And Financial Services CC	21417	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Maradia Capital (Pty) Ltd	38089	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Margaretha Magdalena Van Der Walt t/a Delmar Finansiële Dienste	16447	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Marilyn May Michau	40166	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mario Stockenstrom	23906	12 October 2011	Contravention of section 17(4) of the FAIS Act
Marius Fourie t/a Fourie Brokers	11125	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Marius Naude	14988	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mark Van Der Vyver t/a Bramlyn Financial Services	14968	12 October 2011	Contravention of section 17(4) of the FAIS Act
Mark Wiehahn & Associates CC	20047	12 October 2011	Contravention of section 17(4) of the FAIS Act
Marthinus George Visser t/a OHP Makelaars	16043	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Martin Van Staden Makelaars BK	6494	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mashura Financial Services (Pty) Ltd	35930	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mason Begrafnisdienste	19301	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Master Movers International (Pty) Ltd	27898	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Matelot Professional Assurance & Property Consultants CC	12479	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Matorokisi Financial Services CC t/a MFS	37667	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Matthews Ngwesheni t/a Alchemy Personal Financial Solutions	39878	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Matumi Corporate Advisers (Pty) Ltd t/a Matumi	16528	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Maxi Health Consultants (Pty) Ltd	24377	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Maximus Wealth Management CC	15495	12 October 2011	Contravention of section 17(4) of the FAIS Act
Mayleen Rudling	8650	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mazwoxolo Ceza t/a Mazwi Brokerage	30690	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mbuyisa B And B And Resturant CC	38274	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mecart Brokers CC t/a Martie Craill Brokers	35144	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Medaphahlane Financial Advisors CC	26584	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Melmoth Insurance Brokers CC	38609	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Melvill Trust t/a Financial Hub	17608	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Menno Glas t/a Menno Glas Ouditeure	17462	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Merville Property Administrators CC	16597	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mervyn Greenstein t/a Bloemfontein Life Brokers	15587	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Meshack Dickins Moffat t/a The Moffat Brokers	11776	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act



Mfundo Mnyango Brokers CC	40973	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mfundo Nolwazi Health Care Consultants CC	26631	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Michael Helmut Schmidt t/a Coventry House Financial Services	21552	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michael Howcroft Incorporated	18567	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michael John Bosch	16669	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Michael John Brennan t/a Constantiaberg Life & Pension Brokers	6195	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Michael John Bryan Goss t/a Goss And Company Insurance Brokers	15711	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michael John Wolstenholme t/a Wolstenholme Broking Services	17244	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michael Meshack Hlongwane t/a Mike Healthcare Consultant	21640	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michiel Philippus Willem Fourie t/a Steyn, Smith & Fourie	14404	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Michiel Van Deventer	11529	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Microzone Trading 398 CC t/a Free Way Motors	8402	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mignon Finansiele Dienste BK	24758	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mike Greyvensteyn Brokers CC	16880	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Millionsure Insurance Brokers (Pty) Ltd	12044	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Mitchell Export CC t/a Mitchell Auto	23778	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mitono optimal Guernsey Limited	9795	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
MJL Funeral Brokers CC	30916	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
ML Reddy Financial Planning CC	40284	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
MLH Retirement Fund Consultants (Pty) Ltd t/a MLH Financial Services	12647	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mmboswobeni Eric Ratshiungo t/a Future Insurance Brokers	34403	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mmela Financial Services (Pty) Ltd t/a Mmela Financial Services	20557	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
MMK Insurance CC t/a MMK Funerals Services	8730	12 October 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Mobile Equipment Finance CC	18414	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Moeti Theophilus Tekana	23105	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Molebatsi Nathaniel Moagi	30060	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Monateng 501 CC t/a Lechoano Financial Services	39552	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mondli Innocent Nkomo t/a Nkomo Brokers	40610	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mongezi Booi t/a World Class Assurance Broker	15568	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Monique Volschenk t/a Finrand Insurance Brokers	20046	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Montpelier Consulting Enterprises CC t/a Montpelier Brokers	23552	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Moore Stephens FRRS Incorporated	29486	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Moore Stephens VDA Consulting (Pty) Ltd	10337	28 September 2011	Contravention of section 17(4) of the FAIS Act
Moorton Agency CC	14970	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Moosa Kara Mahomed	14483	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Morgan West (Pty) Ltd	32151	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Moses Mzayifani Ndlovu t/a Mzitoes Brokerage	22671	12 October 2011	Contravention of section 17(4) of the FAIS Act
Motown Cars CC	18532	12 October 2011	Contravention of section 17(4) of the FAIS Act
Move-On Up 2 (Pty) Ltd	9594	12 October 2011	Contravention of section 17(4) of the FAIS Act
MP Nhlapo Trade CC t/a Sgegede Insurance Brokers	7657	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mudau Sistas Brokerage & Projections CC	41062	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mulalo Insurance Broker	7211	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Multi Balanced Properties CC	35400	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Mustofin Insurance Brokers (Pty) Ltd	16449	28 September 2011	Contravention of section 17(4) of the FAIS Act
MWB Health Care Advisors CC	12403	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mzingisi Brokers CC	19725	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Mzukisi Reginald Mdeliswa t/a Mdeliswa Brokerage	26770	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Mzwandile Calvert Lokotwayo t/a M.C.L. Brokers	12738	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
N- E- FG Custodian Services (Pty) Ltd	25242	28 September 2011	Contravention of section 17(4) of the FAIS Act
NA Mhlongo & Associates CC	13847	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
NAB Brokers CC	27870	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Naidoo Investment Trust t/a P Naidoo & Associates	17247	12 October 2011	Contravention of section 17(4) of the FAIS Act
Neal Hamilton Masters	20130	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Neels Smit Finansiele Adviesdienste BK	18392	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Neil Acton Baskerville	29663	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Neill Peter Cassells	19191	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Neves Motorcycle World CC	13215	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Neville Franklyn Lintnaar t/a NFL Insurance Brokers	12084	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
New Choice Decisions Insurance Brokers (Pty) Ltd t/a Choice Decisions	33673	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
New Heights Insurance Brokers CC	18801	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
New Voice Consultants CC	22759	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Newell Insurance Consultants CC	16407	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Nicolaas Louw Nel t/a Nico Nel & Genote	10582	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Nicolese Fouche t/a N Fouche Financial Services	11197	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Nirendra Roopchund t/a Roopchund Financial Services	18046	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Nkosinathi Sithembiso Mpanza	21792	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Nocawe Gqokoma t/a Nocawe Gqokoma Brokers	22345	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Nojatha Investments CC t/a TFS Group	19371	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Norman Mthembeni Khanyile	23668	12 October 2011	Contravention of section 17(4) of the FAIS Act
Nqabakazi Sitole t/a Success	10838	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Nuwejaar Amos Mofokeng t/a Phoka Brokers	12483	12 October 2011	Contravention of section 17(4) of the FAIS Act
Oak Park Trading 83 (Pty) Ltd t/a DCS Durban	35169	28 September 2011	Contravention of section 17(4) of the FAIS Act
Omnicoover (Pty) Ltd	21517	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Omnirisk Solutions (Pty) Ltd	29811	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
One Turn Trading 105 (Pty) Ltd t/a Tourism And Hospitality Insurance Administrators	14498	28 September 2011	Contravention of section 17(4) of the FAIS Act
Optimum Groep 3 (Pty) Ltd t/a Optimum Financial Services	24651	12 October 2011	Contravention of section 17(4) of the FAIS Act
Optimum Trust t/a Global Legal Clinic	9875	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Oraclarmed Health (Pty) Ltd	8369	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Orchid Insurance Brokers CC t/a Orchid Insurance Brokers	5925	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Orcom Trading 217 (Pty) Ltd	17042	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Orion Pensioenfonds Makelaars BK	37271	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Pamosure Investments CC	15979	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Pantelis Georgiou Pluke t/a Lee Pluke	33718	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Patrick Vulindlela Maju t/a Tax And Investments Solutions	39398	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Paul Gerhardus Kirsten t/a Paul Kirsten Makelary	6422	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Paul Leslie Nicholson	13787	12 October 2011	Contravention of section 17(4) of the FAIS Act
Peak Performance Motor Spares and Accessories CC t/a Motoplan	38458	12 October 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Pebble Employee Benefits CC	27293	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Peg Financial Options (Pty) Ltd	22822	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Percentum Brokers CC t/a Risk & Asset Management	19395	12 October 2011	Contravention of section 17(4) of the FAIS Act
Persona Investments CC	31266	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Peter James Lucas	8769	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Petronella Elisabeth Viljoen t/a Briny Viljoen Brokers	13721	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Petrus Jacobus Strachan t/a Agrifin	21575	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Petrus Letjeku Kgamedl t/a Pat L Kgamedl Brokers	7770	12 October 2011	Contravention of section 17(4) of the FAIS Act

PGK Nkunjana t/a New SA Insurance Consultants	11589	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
PGV Makelaars CC	15807	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Phakamile Victor Mabena t/a PV Mabena And Associates	12378	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Phemelo Kegomoditswe Gaorelwe t/a Gaorelwe Funeral Undertakers	5278	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Phil Cooper Insurance Brokers (Pty) Limited	17239	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Phil Precious Auto Sales CC	17840	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Philippus Lodewikus Erasmus t/a Gauteng Insurance And Investment Brokers	40361	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Phillip Goets Versekeringsmakelaars BK	13965	12 October 2011	Contravention of section 17(4) of the FAIS Act
Phineas Sicelo Mqaba	28731	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Phokwana Funeral Directors CC	27729	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Pieter Francois Hugo Winterbach	12028	12 October 2011	Contravention of section 17(4) of the FAIS Act
Pieter Jacobus Wiid t/a Eastcoast Financial Consultants	23789	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Pieter Johannes Loots	16425	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Pieter Willem Hertzog Aucamp t/a Excell Finansiële Adviseurs	16613	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Pits Marketing & Distribution CC	18234	12 October 2011	Contravention of section 17(4) of the FAIS Act

PJ Jansen Van Vuuren Brokers CC	34851	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Pole Position Trading 523 CC t/a Journey Sure And Pole Position Brokers	25755	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Powerhouse Financial Services (South) CC	21181	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Powerhouse Financial Solutions (Pty) Ltd	6900	28 September 2011	Contravention of section 17(4) of the FAIS Act
Premcorp Financial Services (Pty) Ltd	23371	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Prima Inspectacar (Pty) Ltd	25986	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Prime Administration (Pty) Ltd	32806	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Prinevin Naidoo t/a Dynamic Financial Services	40995	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Procure Financial Services CC	28156	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Produkta Motors (Pty) Ltd	22225	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Progro Consultancy Garden Route CC	30280	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Propspec Investments (Pty) Ltd	34093	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Provision Financial Planning CC	13370	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Pryca Properties CC t/a Van Vuuren Brokers	5900	12 October 2011	Contravention of section 17(4) of the FAIS Act
Quinn Treasury (Pty) Ltd	28296	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Quinton Botha t/a Prellex 18	23130	19 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and



			19(2)(b)(iii) of the FAIS Act
Ram Naidoo Financial Advisors CC	14244	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ramdular Balkumar Sewnarayan t/a Aroma Insurance Brokers	21557	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Rand Undertakers CC	33279	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
RAR Motors (Pty) Ltd t/a Fednissan	7300	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Raubex (Pty) Ltd t/a RG Brokers	15170	28 September 2011	Contravention of section 17(4) of the FAIS Act
Raymond P Bakos t/a Raymond P Bakos Insurance Brokers	6005	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Raymond Pleaner	15061	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
RE Solutions One Financial Services CC	36447	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rebone Dorothy Moche Mmoledi t/a Lulus Company	27936	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Red Bus Telemarketing CC t/a Answers Direct Marketing Solutions	34595	28 September 2011	Contravention of section 17(4) of the FAIS Act
Reinhard Fernandes	26074	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rene Truter	17928	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Renier Bloem Makelaars BK	16990	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Retha Grobbelaar CC t/a Victory Lane	5423	15 September 2011	Contravention of section 15A of the FSB Act, and section 19(2)(b)(iii) of the FAIS Act
Riaan Pietersen And Associates	8158	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Richard Donald Croeser	10365	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Richard Kamatu Gichere	28134	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Richard Ulf Karl Naundorf	16495	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Risk Trans Insurance Brokers (Hillcrest) (Pty) Ltd	34872	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
River Queen Trading 283 CC t/a Mountbatten Insurance Consultants	21332	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
RM Brokers Ermelo CC	30826	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rob Nortje Insurance Brokers (Pty) Ltd	12497	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Robert Arnoldi t/a Robert Arnoldi Makelaars	13622	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Robert Joseph Gourrage	13266	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Roddy Turner Motors CC t/a Turner & Turner Motors	9382	12 October 2011	Contravention of section 17(4) of the FAIS Act
Roelof Van Rooyen t/a RW Van Rooyen Brokers	7175	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Ronnie Macdonald Brokers CC	13229	28 September 2011	Contravention of section 17(4) of the FAIS Act
Ronrick Communication & Marketing Services CC	16263	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Rosendal Insurance Brokers CC	14581	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rossouw Van Zyl	12500	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rowan Moodley t/a RM Insurance Brokers	17946	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Rudmic Autos CC	29165	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Rudzani Cate Maraga t/a Mashudu Financial Services	41765	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Rueshka Singh t/a RS Financial Solutions	32616	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Russell Lyndon Tait	16094	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
SH & S Secretarial Services CC	16576	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
SA Fintrust Insurance Brokers CC	17354	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Saartjie Van Molendorff t/a DA Brokers	17371	15 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sabrina Makelaars (Edms) Bpk	14243	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Safobs Central Co- Operative Limited	30381	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sagarius Arnolduns Stephanus Viljoen t/a Knapie Viljoen Makelaars	12463	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
SAL Nkosi Advisors CC	38402	28 September 2011	Contravention of section 19(3) of the FAIS Act
Samathanum Eraman t/a SE Insurance Brokers	26714	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Samore CC	14536	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Samuel Phakiso Malefane t/a SP Malefane Brokers	15625	12 October 2011	Contravention of section 17(4) of the FAIS Act
Santa Carolina Beleggings BK t/a Chadrè Brokers	17346	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Satrix Managers (Pty) Ltd	15658	12 October 2011	Contravention of section 19(3) of the FAIS Act

SB Maditsi t/a Moroka Financial Consultants	39524	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
S-Bro Makelaars/Finansiele Adviseurs (Edms) Bpk	28524	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Schalk Willem Jakobus Liebenberg t/a Schalk Liebenberg And Associates	17790	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Seacl Investments (Pty) Ltd t/a Seapoint Carmart	21560	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sean Nathan Carr t/a Sean Carr & Associates	7343	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sean Scott-Crossley t/a CSF Financial Services	9537	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sebenza Forwarding & Shipping (Pty) Ltd	8522	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sebenzile Leroy Richard Matiwane t/a SBU Brokers	17679	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sectional Title Insurance Brokers CC	12558	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Securisk CC	37820	12 October 2011	Contravention of section 17(4) of the FAIS Act
Sekiwe Alice Ngcangata	32964	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Selby Tshiboyi Mathansi	16598	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Selwyn Talberg t/a Talberg & Associates	20859	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sene Patricia Manthata	28806	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sensfin (Pty) Ltd	14236	12 October 2011	Contravention of section 17(4) of the FAIS Act

Sentravaal Makelaars BPK	15434	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sesona Financial Service CC	37924	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Shahied Valley t/a Valley Insurance Brokers	31019	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sharan Haricharan t/a S Haricharan & Associates	15771	12 October 2011	Contravention of section 17(4) of the FAIS Act
Share Capital Investments CC	8801	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Shawn Jacques Goosen t/a Goosen Brokers	3869	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sheena Mohanlal t/a Shemara Brokers	8437	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sheila Financial Services CC	39953	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Shiva Shiva Trading CC	38595	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Shuwi Olga Maseleme	26956	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sibett Marketing And Distribution Services CC t/a Phela	33863	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Siddle Noord Investment CC t/a EB Motors	18893	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Siegfried Karl Schutte	21354	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Silver Seed Capital (Pty) Ltd	17142	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Silver Thread Insurance Brokers CC t/a Phoenix House	29920	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Simarca Financial Brokers (Pty) Ltd	20214	12 October 2011	Contravention of section 17(4) of the FAIS Act

Simon Kamau Gachwe t/a Ka Rona Financial Services	33072	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Simon Mbeki Mnyandu	20494	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sindiso Curnick Kenneth Mbewane t/a K Curnick Financial Services	22757	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sindiswa Manyamalala	24100	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sivananda Chetty t/a Finsure Financial Services	12935	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Siy Jay Brokers CC t/a SJ Brokers	20675	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Siyahwell Marketing and Supplier CC t/a Siyahwell Marketing	34970	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Siyavuma Healthcare Consultants CC	33775	12 October 2011	Contravention of section 17(4) of the FAIS Act
Sizamokuhle Financial Services CC	32509	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Siziwebongani Contractors CC	21267	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Skhuma Estate Agency CC	38200	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Skoki General Trading CC	38955	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Skyrite Administrations CC	20838	12 October 2011	Contravention of section 17(4) of the FAIS Act
SMG Auto Durban (Pty) Ltd t/a SMG Durban	6979	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sobane Financial Services CC	36909	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Soobramoney Thanguvelu Moodley t/a Syd Moodley Financial	20939	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Services			
Soraya Babu t/a S & S Insurance Brokers	16988	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sotran Trading 140 CC t/a Coast To Coast Brokers	7734	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
South African Army Foundation	6995	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Southern Conquest CC t/a First Cars	21002	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Speedbike Stilfontein BK t/a Speedbike	11409	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Spiders Legal Expense Insurance (Pty) Ltd t/a Spiders	28635	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Square Circle Financial Planner CC	6596	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Srl Actuaries And Consultants (Pty) Ltd	32560	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
SRM Financial Brokers CC	39500	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Stanley Combrink t/a Combrink Brokers	11693	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Stanley Maseko t/a Stanley Maseko Brokers	17868	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Stanna Financial Service CC	35910	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Stenham Client Services Ltd	39583	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Stephanie Estcourt & Ass. CC t/a Healthcare Brokers	15631	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Stephanus Francois Barendse t/a Fanie Barendse Brokers	36436	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Stephen Shabele Mogase	13674	12 October 2011	Contravention of section 17(4) of the FAIS Act
Steven Knight	12507	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Strachan Brokers Trust	14871	28 September 2011	Contravention of section 17(4) of the FAIS Act
Stradford Auto (Pty) Ltd	16830	15 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Stuart Edwards Secretarial & Management Services CC	37956	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Summit Insurance Brokers CC t/a Summit Insurance Brokers CC	28648	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Supercars Bellville BK t/a Supercars	18486	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sure Life Brokers CC t/a Sure Life	35112	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Sureright Administrators CC	10607	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Susan Leslie Jenkins t/a Sue Jenkins Healthcare	7367	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Susanna Bester t/a Sanet Bester Finansiele Adviesdienste	10967	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Susanna JHM Le Roux	16746	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Susanna Sophia Kleinsmit t/a SS Kleinsmit Makelaars	17121	12 October 2011	Contravention of section 17(4) of the FAIS Act
Suvandran Verdapen Govinder t/a Suvans Financial Services	12166	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Suzanne Elizabeth Duthie	16658	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act



Swanserv (Pty) Ltd	14750	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Sydney Hunt Delta Vryburg BK	19803	12 October 2011	Contravention of section 17(4) of the FAIS Act
T I H Brümmer t/a Noordwes Makelaars	14053	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
T.G. Asset Management CC t/a Trudy	36702	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Tembile Richard Msiza t/a Smart Financial Services	34353	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Tembinkosi Elvis Majola t/a TE Financial Service Broker	25004	12 October 2011	Contravention of section 17(4) of the FAIS Act
Thaba Ntokozo Louis Zwane t/a Ntokozo Zwane Insurance Brokers	22176	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thabiso Ephraim Molongoana t/a Khumo Financial Services	23349	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thabo Johannes Ramafalo t/a Falo's	34942	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thami Sithole And Associates CC	20954	28 September 2011	Contravention of section 17(4) of the FAIS Act
Thandi Williams Financial Services CC	30446	12 October 2011	Contravention of section 17(4) of the FAIS Act
Thandile Spankie Ntshingwa t/a Spanoza Brokers And Retail	30447	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Thari Insurance Brokers CC	37982	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thavaraj Naicker t/a T Naicker Financial Services	16335	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
The Dawn Health Care Consultants CC t/a T D H C	6842	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
The Financial Connection CC	10877	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

The Tudhope Tax Consultancy CC	16557	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thembinkosi Godfrey Mlambo t/a TGM Insurance Brokers	28133	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Thembinkosi Mduduzi Kenneth Ngubane t/a TMK Ngubane Brokers	37722	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Theophilus Mooketsi	18867	19 September 2011	Contravention of section 15A of the FSB Act, and sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Theresa Madelene Elaine Coutts t/a Lumeyr Brokers	22619	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Theunis Gerhardus N Etsebeth t/a Theuns Etsebeth Brokers	14035	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Theunis Hendrikus Marais t/a Chris Steyn Insurance Brokers	16406	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Theunis Johann Van Rooyen	26096	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thistle Insurance Brokers CC	16439	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Thomas Killoran t/a Balanced Financial Planning	6374	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thomas Kwatela Nkwinika t/a Makambandlela Insurance Brokers	30560	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thufai-Vic Trading CC	36592	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Thy Kingdom Funeral Parlour Trust t/a Thy Kingdom Burial Club	17651	28 September 2011	Contravention of sections 19(2)(b)(iii) and (3) of the FAIS Act
Tim Jones & Associates CC	16469	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Timothy John Jackson	25988	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Tinasiluncedo Financial Services CC	37555	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Tlholo- Victory Funerals CC	38546	28 September 2011	Contravention of section 17(4) of the FAIS Act
Tony Mogomotsi Goliath	23017	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Trevor Anton Frank Buckland t/a Buckland Jane & Associates	7762	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Tribe Insurance Brokers (Pty) Ltd	23215	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Triofin CC	12223	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Triponza Trading 445 CC t/a Drive Auto Sales	32534	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Tropical Eden Insurance Brokers CC	18059	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Truworths Limited	15089	12 October 2011	Contravention of section 17(4) of the FAIS Act
Tsala Financial Services (Pty) Ltd	12112	28 September 2011	Contravention of section 17(4) of the FAIS Act
Tsana Motors Tzaneen CC t/a Simpson Motors Tzaneen And Simpson Motors Phalaborwa	25998	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Tseliso David Moeketsi	40751	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Tshebedisano Burial Society CC	13182	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) of the FAIS Act
Tshifularo Gerson Mufeba	19918	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Tswaing Funeral Parlour CC	11809	28 September 2011	Contravention of sections 17(4), 19(2)(b)(iii) and (3) the FAIS Act
Tswelo Pele Consultants CC	9225	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Tswelopele Life (Pty) Ltd	11259	12 October 2011	Contravention of section 19(3) of the FAIS Act
Turningzone Solutions CC	29798	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Tuscan Insurance Brokers CC	17250	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Twin Review Brokers CC	18907	12 October 2011	Contravention of section 17(4) of the FAIS Act
Two Mountains Burial Services CC	8706	12 October 2011	Contravention of section 17(4) of the FAIS Act
Two Way Funeral And Financial Services CC	36593	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Umanyano Portfolio Management (Pty) Ltd t/a Umanyano Insurance Brokers	14271	12 October 2011	Contravention of section 17(4) of the FAIS Act
Umbono Financial Services (Pty) Ltd	32004	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Unity Incorporation	9703	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Univision Financial Services (Pty) Ltd	25330	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Uptrend Medical Aid Brokers CC	29198	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
V Keizan t/a VK Assurance & Investment Consultants	7617	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
V.T. Financial Enterprise CC	17800	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Vaganathan Pillay t/a Financial House	12389	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Van Der Linde Finansiele Dienste BK	18351	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Van Der Westhuizen Welvaartbestuur BK	37034	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

Vanilla Treasury CC	39782	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Versatex Trading 214 (Pty) Ltd	14276	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Veterinary Defence Company (Pty) Ltd t/a Veterinary Defence Association	32373	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
VFS Wealth Managers (Pty) Ltd	29963	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
VGK Porterville t/a VGK Porterville Begrafnisskema	23235	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Victory Parade Trading 71 (Pty) Ltd	24118	28 September 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Vincent Mark Bougard t/a V.M.B Financial Services	36051	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Vinesh Naidoo Financial Advisory Services CC	39479	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Vinon Trading Enterprise CC t/a Vinon Financial Services	38779	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
VIP Investment And Insurance Brokers CC	12034	12 October 2011	Contravention of section 17(4) of the FAIS Act
Vunani Securities (Pty) Ltd	29994	28 September 2011	Contravention of section 17(4) of the FAIS Act
Vuyani Basil Mali t/a VBM Financial Services	32878	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Vuyani Maxwell Zuzani Investments CC	20022	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Walton Alexander Financial Services CC	16013	28 September 2011	Contravention of section 17(4) of the FAIS Act
Wenhold Von Zwiétring Accountants And Auditors	9028	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Westend Motors CC	39611	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Western Cape Van Rental (Pty) Ltd t/a Avis Van Rental	23006	12 October 2011	Contravention of section 17(4) of the FAIS Act
Western Car Sales CC	33780	12 October 2011	Contravention of section 17(4) of the FAIS Act
Westside Trading 136 (Pty) Ltd t/a Uni Guard	10711	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Wilhelmina Johanna Dorothea Swanepoel t/a Sowsure	18318	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Willem Johannes Bekker	17147	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Wilma Ferreira t/a Wilma Ferreira Makelaars	19857	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Winnick Finansiele Dienste BK	17329	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
WIP Treasury Solutions (Pty) Ltd t/a WTS	7042	12 October 2011	Contravention of section 17(4) of the FAIS Act
Woodwealth Brokers CC	39330	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Worldweb Brokers CC	39039	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Wouter Lutske Makelaars BK	23562	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Xanadu Properties 239 (Pty) Ltd t/a SA Financial Services	14774	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Xolile Jabulisiwe Princess Khoza t/a Thobani Brokers	30669	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Xoliswa Memani	24093	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Y A Lockhat Grandchildren Trust t/a Liyo Insurance Brokers	10340	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Yosuf Padia t/a Yosuf Padia & Associates	6173	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act

Yoganathan Sundragasen Pillay t/a Aquarius Insurance And Financial Consultants	16615	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Ysterberg Makelaars BK	18360	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Yvonne Blackwood-Murray	21458	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Zainab Hoosen	12130	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Zamokwakhe Collin Xoseka t/a Indaba Investments	35689	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Zanokhanyo Trading CC t/a New Horizon	19117	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Zebon Vusi Ndlovu t/a Mazibuye Masisweni Marketing Consulting	28379	28 September 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act
Zeridium (Pty) Ltd	16809	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Zimasa Songezile Fuzile t/a ZS Fuzile Brokers	36820	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Zimzeni 181 CC t/a Psk Consult CC	25405	12 October 2011	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Zodwa Jeannette Ndaba t/a ZJ Ndaba Financial Services	25956	12 October 2011	Contravention of section 19(2)(b)(iii) of the FAIS Act

The terms attached to the suspension:

- (a) The licensees are prohibited from concluding any new business.
- (b) The licensees must inform all affected clients and product suppliers concerned that their licences have been suspended, and the Registrar must be copied with such correspondence.
- (c) The licensees must, in consultation with clients and product suppliers concerned, take reasonable steps to ensure that any outstanding business is transferred to another licensed financial services provider in the interest of clients, and must advise the Registrar accordingly.
- (d) The suspension of the licences will endure for a period of three months after the effective date, whereafter the Registrar will lift the suspension if satisfied that the licensees comply with the requirements of the Act or withdraw the licences if not so satisfied.

This Notice is called the Notice on Suspension of Authorisation, No 8 of 2011.

A handwritten signature in black ink, appearing to be 'G E Anderson', enclosed within a circular stamp or seal.

**G E ANDERSON**

*Deputy Registrar of Financial Services Providers*

---