

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
19.2	Was any aspect in this report indicated as a "Developmental Area" (Column 4) that was also indicated as a developmental area in the compliance report for the previous reporting period?					
19.2.1	<i>If the answer to question 19.2 is YES –</i> In a separate annexure, provide details of those aspects, the reasons for continued non-compliance, and corrective actions to be taken. Indicate the annexure number in column 5.					
19.3	Has the FSP appointed a compliance officer in terms of section 17 of the Act?					
19.4	<b><i>If the answer to question 19.3 is YES – questions 19.5 to 19.10 must be answered</i></b>					
19.5	Has the compliance officer been appointed as an internal compliance officer of the FSP?					
19.6	<i>If the answer to question 19.5 is YES-</i> Have you also been appointed as the internal compliance officer of any other FSP? If YES, in a separate annexure, provide the details of the FSP. Indicate the annexure number in column 5.					
19.7	Do you provide written reports on the compliance monitoring and recommendations relating to the FSP on a regular basis? If YES, the Statistical Information Sheet (Section 10) must be completed.					
19.8	Does the FSP operate from only one business premises?					
19.9	<b><i>If the answer to Question 19.8 is NO – Questions 19.9.1 and 19.9.2 must be answered.</i></b>					
19.9.1	Did you (and in the case of an internal compliance officer, any delegated employee) conduct regular visits to all the business premises, business units and / or branches of the FSP? If YES, the Statistical Information Sheet (Section 10) must be completed.					
19.9.2	Did you (and in the case of an internal compliance officer, any delegated employee) conduct regular visits to the business premises, business units and / or branches of the representatives of the FSP? If YES, the Statistical Information Sheet (Section 10) must be completed.					
19.10	Are you also the compliance officer appointed in terms of section 43(b) of FICA? If the answer is NO, the name of the compliance officer so appointed must be supplied in the Statistical Information Sheet (Section 10).					

		Column				
Question		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
19.11	Do you have any issues with regard to the FSP that are not covered by this report that you would want to bring to the attention of the Registrar? Attach a written copy of your comments as an annexure and indicate the annexure number in column 5.					
<b>20</b>	<b>Monitoring</b>					
20.1	Does the FSP have an approved Compliance Officer?					
<b>20.2</b>	<b><i>If the answer to question 20.1 is YES, questions 20.3 to 20.8 must be answered</i></b>					
20.3	During the reporting period did you monitor whether the FSP or any of its employees received or offered any immaterial financial interest to or from a third party?					
20.3.1	<i>If the answer to question 20.3 is YES- Were any instances of non-compliance identified i.e. where the monetary value of the financial interest exceeded an aggregate of R1 000 during the calendar year?</i>					
20.4	Did you monitor whether the FSP has complied with sections 4, 5 and 7 of the General Code of Conduct?					
20.4.1	<i>If the answer to Question 20.4 is YES – Did you find any instances of non-compliance? If YES – the Statistical Information Sheet (Section 10) must be completed.</i>					
20.5	Did you conduct monitoring in respect of the FSP's Risk Management Plan?					
20.5.1	<i>If the answer to Question 20.5 is YES – In a separate annexure, provide details as to how the Risk Management Plan is monitored. Indicate the annexure number in column 5.</i>					
<b>20.6</b>	<b><i>Indicate whether you monitored the following during the reporting period:</i></b>					
20.6.1	Financial products with regard to which the FSP renders financial services.					
20.6.2	Representatives under supervision.					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
20.6.3	Juristic representatives					
20.6.4	Disclosure documents to verify compliance with sections 4 and 5 of the General Code of Conduct.					
20.6.5	Disclosure documents to verify compliance with section 7 of the General Code of Conduct.					
20.6.6	Furnishing of advice and record of advice.					
20.6.7	Receipt of funds and/or collection of premiums.					
20.6.8	Waiver of rights.					
20.6.9	Money laundering control procedures.					
20.6.10	Exchange control regulations (in case of a forex FSP).					
20.6.11	Policies and procedures.					
20.6.12	Mandates and application forms.					
20.6.13	Conflict of interest management policy					
20.6.14	Continuous Professional Development hours					
20.6.15	Direct marketer's telesales script and/or telesales voice recordings to check compliance with section 15 of the General Code of Conduct.					
20.6.16	Other. Please provide details of other type of monitoring in a separate annexure and indicate the annexure number in column 5.					
20.7	In a separate annexure, provide an explanation as to how you did the monitoring (methodology). Please also include the extent of monitoring. Indicate the annexure number in column 5.					
20.8	Did you conduct file sampling during the reporting period?					

		Column				
Question		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
20.8.1	<i>If the answer to Question 20.8 is YES – Was sampling applied to all reviews conducted? If the answer is NO, to what percentage of reviews conducted was sampling applied? Indicate the percentage on the Statistical Information Sheet (Section 10)</i>					
	<b>SECTION 6 – DISCRETIONARY FSPs</b> (To be completed by all FSPs authorised as Category II FSPs)					
<b>21</b>	<b>Particular duties/obligations relating to discretionary FSPs</b>					
<b>21.1</b>	<b>Prohibitions and duties of discretionary FSP</b> <i>Section 3 of Code of Conduct for Discretionary FSPs</i>					
21.1	<b>Does the FSP have procedures in place to ensure that it does not:</b>					
21.1.1	Without the relevant client's written approval, sell or provide a third party with the client's detail, unless obliged by, or in terms of, any law to do so?					
21.1.2	Directly or indirectly, sell any financial products owned by the FSP, to any client or buy for own account, any financial product owned by the client?					
21.1.3	Directly or indirectly, engage in the netting of transactions?					
21.1.4	Did the FSP exercise a vote in a ballot conducted by a collective investment scheme or exercise voting rights on behalf of a client to gain control of a listed or unlisted company without the client's prior written approval?					
<b>21.2</b>	<b>Mandate</b> <i>Section 5 of Code of Conduct for Discretionary FSPs</i>					
21.2.1	Did the Registrar approve all specimen mandate/s used by the FSP?					
21.2.2	Does the FSP have procedures in place to ensure that the FSP only renders intermediary services to clients in respect of whom signed mandates, which comply with section 5 of the Code, have been obtained?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
21.2.3	Does the FSP have procedures in place to ensure that all cash, assets and documents of title are returned to clients on termination of their mandate?					
21.2.4	Does the FSP have procedures in place to ensure that clients are issued with final statement accounts on termination of the clients' mandates?					
21.2.5	Does the FSP have procedures in place to ensure that clients' investments are managed in terms of their mandates?					
21.2.6	Did the FSP invest any funds of clients in companies and/or structures in which the FSP or any associated group or entity of the FSP have an interest?					
21.2.6.1	<i>If the answer to Question 21.2.6 is YES - Provide full details of such instances in a separate annexure and indicate the annexure number in column 5.</i>					
<b>21.3</b>	<b>Reporting to clients</b> <i>Section 6 of Code of Conduct for Discretionary FSPs</i>					
21.3.1	Does the FSP have procedures in place to ensure that reports are furnished to clients within the periods required by section 6?					
21.3.2	Did the FSP comply with the requirements of section 6 in all instances?					
21.3.2.1	<i>If the answer to Question 21.3.2 is NO - Provide details of any instances of non-compliance found as well as steps taken to reasonably ensure that such non-compliance does not occur again in a separate annexure and indicate the annexure number in column 5.</i>					
<b>21.4</b>	<b>Administration</b>					
21.4.1	Did the FSP hold and/or manage funds on behalf of clients during the reporting period?					
21.4.2	<i>If the answer to Question 21.4.1 is YES questions 21.4.3 to 21.4.6 must be answered -</i>					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
21.4.3	As a separate annexure, submit an organogram of the FSP and details of the FSP's administrative system that is utilised for managing client assets. Indicate the annexure number in column 5.					
21.4.3	As a separate annexure, submit details of the computer software packages and/or programmes that the FSP utilises in the administration process. Indicate the annexure number in column 5.					
21.4.4	Does the FSP outsource any of its functions? If YES, provide details of the outsourced functions (type of functions as well as whom it has been outsourced to) in a separate annexure and indicate the annexure number in column 5.					
21.4.5	Does the FSP manage assets on behalf of retirement funds and/or insurance companies?					
21.4.5.1	<i>If the answer to Question 21.4.5 is YES –</i> Does the FSP have procedures in place to ensure that the assets are held in the name of the client or in the name of an approved nominee company?					
21.4.6	Does the FSP maintain separate accounts in the name of the clients?					
<b>21.5</b>	<b>Assets under management</b>					
21.5.1	Did the FSP have assets under management as at the reporting date? If the answer is YES, the Statistical Information Sheet (Section 10.5) must be completed.					
<b>21.6</b>	<b>Nominee companies</b> <i>Section 8 of General Code of Conduct for Discretionary FSPs</i>					
21.6.1	Does the FSP hold client investments?					
21.6.2	<b>If the answer to Question 21.6.1 is YES – questions 21.6.2.1 to 21.6.2.3 must be answered</b>					
21.6.2.1	Does the FSP hold client investments in its own nominee company approved by the Registrar as required in terms of regulation 6 of the Regulations?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
21.6.2.2	Does the FSP make use of another approved nominee company to hold client assets?					
21.6.2.3	As a separate annexure, attach a list of nominee companies that the FSP make use of to hold client assets. Also indicate whether the nominee company holds assets on behalf of pension funds, long-term insurers or short-term insurers. Indicate the annexure number in column 5.					
<b>21.7</b>	<b>General functions</b>					
21.7.1	Does the FSP manage clients' funds in wrap funds or structured funds on an administrative FSP's platform?					
21.7.1.1	<i>If the answer to question 21.7.1 is YES –</i> In a separate annexure, provide details of the funds and underlying assets in the wrap funds or structured funds. Provide the annexure number in column 5.					
21.7.2	Is the FSP authorised to render financial service in respect of long-term insurance products?					
21.7.2.1	<i>If the answer to Question 21.7.2 is YES –</i> In a separate annexure, list the names of product suppliers that the FSP utilises. Indicate the annexure number in column 5.					
21.7.3	Does the FSP render financial services as a Multi Manager?					
21.7.3.1	<i>If the answer to question 21.7.3 is YES–</i> Did the FSP conduct a due diligence investigation on each of the underlying managers?					
	<b>SECTION 7 – ADMINISTRATIVE FSPs</b>					
<b>22</b>	<b>Particular duties relating to administrative FSPs</b>					
<b>22.1</b>	<b>Prohibitions and duties of administrative FSPs</b> <i>Section 3 of Code of Conduct for Administrative FSPs</i>					
22.1.1	Does the FSP have procedures in place to ensure that it does not, directly or indirectly engage in the netting of transactions?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
22.1.2	Does the FSP have procedures in place to ensure that it does not, directly or indirectly, sell any financial product owned by the FSP to any client, or buy for own account, any financial product owned by any client?					
22.1.3	Did the FSP exercise a vote in a ballot conducted by a collective investment scheme on behalf of clients?					
<b>22.2</b>	<b>General functions</b> <i>Section 4 of Code of Conduct for Administrative FSPs</i>					
22.2.1	Does the FSP have procedures in place to ensure that prior to it accepting instructions from a person who is providing intermediary services on behalf of a client, that such person is an authorised financial services provider?					
22.2.2	Does the FSP offer wrap funds on its platform?					
22.2.2.1	<i>If the answer to question 22.2.2 is YES -</i> In a separate annexure, provide full details of the fund and the underlying assets in the wrap fund. Indicate the annexure number in column 5.					
22.2.3	Does the FSP offer structured funds on its platform?					
22.2.3.1	<i>If the answer to question 22.2.3 is YES -</i> Please provide full details of the funds and underlying assets in the structured fund in a separate annexure. Provide the annexure number in column 5.					
22.2.4	Does the FSP offer hedge funds on its platform?					
22.2.4.1	<i>If the answer to question 22.2.4 is YES -</i> Please provide full details of the fund as well as the underlying assets of the fund in a separate annexure. Provide the annexure number in column 5.					
22.2.5	Does the FSP have procedures in place to ensure that the FSP verifies in all instances that any other FSP that it receives an instruction from is authorised to render the specific financial service without any licence restriction in relation to the specific financial product?					



Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
<b>22.3</b>	<b>Relationship with clients</b> <i>Sections 5 and 6 of Code of Conduct for Administrative FSPs</i>					
22.3.1	Did the Registrar approve all specimen application forms and specimen mandates used by the FSP?					
22.3.2	Did the FSP amend any of its application forms and/or mandates during the reporting period?					
22.3.2.1	<i>If the answer to question 22.3.2 is YES –</i> Did the Registrar approve all substantial/material amendments before it was used?					
22.3.3	Does the FSP have procedures in place to ensure that it only deals with clients in respect of whom application forms (which comply with section 5 of the Code) have been obtained?					
22.3.4	Does the FSP have procedures in place to ensure notification of an increase in costs within 14 days of the receipt of the notification from the product supplier?					
22.3.5	Does the FSP have procedures in place to deal with the termination of a relationship with a client as contemplated in section 6 of the Code?					
<b>22.4</b>	<b>Record-keeping</b> <i>Section 7 of Code of Conduct for Administrative FSPs</i>					
22.4.1	Are client records maintained to identify the specific financial product owned by each client?					
<b>22.5</b>	<b>Independent nominee</b> <i>Section 9 of Code of Conduct for Administrative FSPs</i>					
22.5.1	Does the FSP ensure that the independent nominee is approved in terms of the Requirements imposed by the Financial Services Board for nominees to operate in South Africa (Board Notice 63 of 2007)?					
22.5.2	Did the Registrar approve the written agreement between the FSP and the independent nominee as required by regulation 8 of the Regulations?					
22.5.3	Does the FSP have procedures in place to ensure that all bank and unit reconciliations are up to date?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
22.5.4	Does the FSP report to the independent nominee on the investment bank account status (cash and assets held)? If YES, the Statistical Information Sheet (Section 10) must be completed.					
22.5.5	During the reporting period did the FSP furnish the independent nominee's board of directors with reconciliation reports? If YES, the Statistical Information Sheet (Section 10) must be completed.					
22.5.6	Did the nominee hold a fidelity guarantee at the reporting date? If YES, the Statistical Information Sheet (Section 10) must be completed. ?					
22.5.7	Did the nominee hold professional indemnity insurance at the reporting date? If YES, the Statistical Information Sheet (Section 10) must be completed.					
22.5.8	Is the nominee structured in such a way that clients' investments are at all times protected from its creditors or those of the administrative FSP and anyone else as required in the Regulations?					
22.5.9	Are regular board or trustee meetings held by the directors or trustees of the independent nominee?					
22.5.10	Are more than 50 percent of the directors, trustees or other persons responsible for management and control of the independent nominee, independent from the administrative FSP, as well as from companies within the same group of the FSP?					
22.5.11	Is the nominee bank account in the name of the FSP?					
<b>22.6</b>	<b>Reporting to clients</b> <i>Section 10 of Code of Conduct for Administrative FSPs</i>					
22.6.1	Does the FSP have procedures in place to ensure that a report referred to in section 10(2) of the Code is submitted to the client within 3 months of the FSP's financial year end?					
<b>22.7</b>	<b>Information systems</b>					
22.7.1	Does the FSP have a business continuity plan in place?					

Question		Column				
		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
22.7.2	Did the FSP have any system developments and/or changes that affected bank and asset holding reconciliations in any way?					
22.7.3	Does the FSP have access controls to information systems in place?					
22.7.4	Does the FSP have anti-virus software in place?					
22.7.5	Does the FSP have a firewall in place to protect the network?					
<b>22.8</b>	<b>Assets under administration</b>					
22.8.1	Did the FSP have assets under administration at reporting date? If YES, the Statistical Information Sheet (Section 10.6) must be completed.					
22.8.2	If separate accounts are held in the name of the clients, indicate whether or not such accounts are audited.					
22.8.3	If separate accounts are not held, indicate in a separate annexure in whose names the assets are held. Indicate the annexure number in column 5.					
<b>SECTION 8 – HEALTH SERVICES BENEFITS</b>						
<b>23</b>	<b>Accreditation under section 65(3) of Medical Schemes Act, 1998</b> <b>Section 8(7)(e) of the Act</b>					
23.1	Is the FSP licensed to render financial services relating to health services benefits?					
23.2	<i>If the answer to Question 23.1 is YES – questions 23.2.1 to 23.2.3 must be answered</i>					
23.2.1	Was the accreditation of the FSP in terms of section 65(3) of the Medical Schemes Act, 1998, period suspended, or withdrawn, or did it lapse during the reporting? Please provide details of any suspension, withdrawal or lapse as a separate annexure to the report and indicate the annexure number in column 5.					

		Column				
Question		1	2	3	4	5
		Yes	No	Not applicable	Develop - mental area	Annexure number
23.2.1.1	<i>If the answer to Question 23.2.1 is YES ~</i> Was a profile change request submitted to the Registrar in order for the health services subcategory to be removed from the FSP's licence?					
23.2.2	The details of the accreditation with the Council for Medical Schemes (ORG numbers for entities and BR numbers for key individuals) must be completed on the Statistical Information Sheet (Section 10).					
23.2.3	Does the FSP have any corporate clients? If the answer is YES, the Statistical Information Sheet (Section 10) must be completed.					

## SECTION 9 – ATTACHMENTS

[illegible]

## SECTION 10 – STATISTICAL INFORMATION SHEET

10.1 REPRESENTATIVES AT REPORTING DATE		
TYPE OF INFORMATION REQUIRED	RELEVANT QUESTION NUMBER	NUMBER OF REPRESENTATIVES/KEY INDIVIDUALS
Number of representatives	17.1	
Number of representatives rendering services under supervision as contemplated in paragraph 3 of the Exemption with respect of Services under Supervision	17.8.2.1	
Number of key individuals and representatives that acted as supervisors in respect of services under supervision	17.8.2.1	

10.2 INSURANCE COVER	RELEVANT QUESTION NUMBER	CURRENCY	EXTENT OF COVER (NUMERIC AMOUNT)
Professional Indemnity Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	6.1		
Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	6.2		
Guarantees as contemplated in section 13 of the General Code of Conduct	6.3		

<b>10.3 COMPLIANCE FUNCTION</b>		
<b>TYPE OF INFORMATION REQUIRED</b>	<b>RELEVANT QUESTION NUMBER</b>	<b>DETAILS</b>
Number of reports issued to the FSP on the rendering of financial services	19.7	
Total number of business premises, business units and / or branches in respect of the FSP.	19.8	
Total number of visits to the business premises, business units and / or branches of the FSP during the reporting period in order to perform monitoring procedures	19.8	
Total number of business premises, business units and / or branches in respect of the representatives of the FSP.	19.9	
Total number of visits to the business premises, business units and / or branches of the FSP's representatives during the reporting period in order to perform monitoring procedures	19.9	
Identity Number of compliance officer appointed in terms of section 43(b) of FICA.	19.10	
Confirm what percentage of the transactions that were sampled was non-compliant with sections 4, 5 and 7 of the General Code of Conduct.	20.4.1	
Percentage of reviews conducted where sampling was applied	20.8.1	

<b>10.4 GENERAL CODE OF CONDUCT</b>		
<b>TYPE OF INFORMATION REQUIRED</b>	<b>RELEVANT QUESTION NUMBER</b>	<b>PERCENTAGE</b>
Provide the percentage of new financial transactions concluded as contemplated in section 8(4)(a) of the General Code of Conduct.	9.3.5	

**10.5 ASSETS UNDER MANAGEMENT (DISCRETIONARY FSPs):  
TYPE OF CLIENT**

<b>Total market value of assets under management for the following type of clients:</b>	<b>Local (Rand amount)</b>	<b>Foreign (Rand amount)</b>	<b>Total (Rand amount)</b>
Private clients (individuals or entities not listed below)			
Retirement funds			
Collective Investment Schemes			
Long-term Insurers			
Short Term Insurers			
Hedge fund clients			
Other (Please specify)			

**ASSETS UNDER MANAGEMENT (DISCRETIONARY FSPs):  
TYPE OF ASSETS**

<b>Total market value of assets under management for the following type of assets:</b>	<b>Local (Rand amount)</b>	<b>Foreign (Rand amount)</b>	<b>Total (Rand amount)</b>
Collective Investment Schemes			
Listed securities – Shares			
Listed securities – Derivatives			
Listed securities – Bonds			
Listed securities – Warrants			
Unlisted securities - Shares			
Unlisted securities - Derivatives			
Unlisted securities - Bonds			
Unlisted securities - Warrants			
Bank deposits			
Other			



<b>10.6 ASSETS UNDER ADMINISTRATION (ADMINISTRATIVE FSP)</b>			
<b>Total Market Value of assets under administration at the reporting date for the following type of clients:</b>	<b>Local (Rand amount)</b>	<b>Foreign (Rand amount)</b>	<b>Total (Rand Amount)</b>
Private clients (individuals not listed below)			
Retirement funds			
Collective investment schemes			
Long-term insurers			
Short-term insurers			
Hedge fund clients			
Other (Please specify)			

<b>10.7 ADMINISTRATIVE FSP - INDEPENDENT NOMINEE</b>		
<b>TYPE OF INFORMATION REQUIRED</b>	<b>RELEVANT QUESTION NUMBER</b>	<b>EXTENT OF COVER (NUMERIC AMOUNT)</b>
Number of reports the FSP made to the independent nominee on the investment bank account reconciliation status during the reporting period.	22.5.4	
Number of reconciliation reports that the FSP furnished to the independent nominee's board of directors during the reporting period	22.5.5	
Extent of fidelity guarantee held by independent nominee	22.5.6	
Extent of professional indemnity insurance held by nominee	22.5.7	

**10.8 HEALTH SERVICES BENEFITS**

<b>TYPE OF INFORMATION REQUIRED</b>	<b>RELEVANT QUESTION NUMBER</b>	<b>DETAILS</b>
Key individual(s) accreditation number(s) with the Council for Medical Schemes [BR number(s)]	23.2.2	
FSP accreditation number with the Council for Medical Schemes (ORG number)	23.2.2	
Percentage of client base that are corporate clients	23.2.3	

**COMPLIANCE REPORT COMPLETED AND SIGNED BY FSP**

Name of FSP \_\_\_\_\_

FSP number \_\_\_\_\_

Name of key individual \_\_\_\_\_

ID number of key individual \_\_\_\_\_

Date appointed as key individual \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**COMPLIANCE REPORT COMPLETED AND SIGNED BY COMPLIANCE OFFICER(S)**

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

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

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

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

Signature(s) of compliance officer(s) \_\_\_\_\_

Date \_\_\_\_\_

Telephone number \_\_\_\_\_

Fax number \_\_\_\_\_

E-mail address \_\_\_\_\_

**Please note that all unsigned reports will be regarded as "Not Submitted".**

**DECLARATION SIGNED BY COMPLIANCE OFFICER(S) SUBMITTING COMPLIANCE REPORT**

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

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

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

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

Signed on \_\_\_\_\_ (day) of \_\_\_\_\_ (month) \_\_\_\_\_ (year).

Name(s) of compliance officer(s): \_\_\_\_\_

Signature(s): \_\_\_\_\_