

BOARD NOTICE 269 OF 2013**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****AMENDMENT OF THE NOTICE ON QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER**

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby, under section under section 17(1)(b) and (2)(a) of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), after consultation with the Advisory Committee on Financial Services Providers, amend the Notice on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, 2010, as set out in the Schedule to this Notice.

This Notice is called the Amendment on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, 2013.



CD da Silva,
Deputy Registrar of Financial Services Providers

SCHEDULE**AMENDMENT OF THE NOTICE ON QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER****Definition**

1. In this Schedule "the Notice" means the Notice on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, 2010, as published by Board Notice 127 of 2010 in *Government Gazette* No. 33537 of 9 September 2010.

Amendment of the Notice

2. The Schedule to the Notice is hereby amended by the substitution of Annexure 2 of the following Annexure:

Annexure 2: Qualifications recognised for Compliance Officers							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
879	ADVANCED CERTIFICATE: BANKING SERVICES	4	MILPARK BUSINESS SCHOOL	90842	6	120	G
880	ADVANCED CERTIFICATE: MANAGEMENT	4	MILPARK BUSINESS SCHOOL	90665	6	120	G
620	ADVANCED DIPLOMA IN BUSINESS MANAGEMENT	165	SOUTH AFRICAN INSTITUTE OF MANAGEMENT	67689	6	400	G
604	ASSOCIATE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	128	THE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	FSB071	0	0	G
834	BACCALAUREUS COMMERCII: MARKETING MANAGEMENT	194	GRADUATE ACADEMY OF SOUTH AFRICA	FSB0203	6	360	G
817	BACHELOR OF BUSINESS MANAGEMENT	28	UNIVERSITY OF HAMPSHIRE	FSB0187	0	0	G
878	BACHELOR OF BUSINESS SCIENCE	92	MONASH SOUTH AFRICA	88603	7	374	G
872	BACHELOR OF BUSINESS STUDIES	221	DUBLIN CITY UNIVERSITY	FSB0227	0	0	G
706	BACHELOR OF COMMERCE	9	UNIVERSITY OF CAPE TOWN	FSB0207	7	432	G
131	BACHELOR OF COMMERCE	1	UNISA	5563	6	384	G
131	BACHELOR OF COMMERCE	4	MILPARK BUSINESS SCHOOL	90509	7	370	G
131	BACHELOR OF COMMERCE	7	UNIVERSITY OF THE WITWATERSRAND	9843	6	360	G
131	BACHELOR OF COMMERCE	18	UNIVERSITY OF POTCHEFSTROOM	13758	7	384	G
131	BACHELOR OF COMMERCE	186	RHODES UNIVERSITY	15147	7	360	G
837	BACHELOR OF COMMERCE (AUDITING, MANAGERIAL ACCOUNTING, FINANCE)	12	UNIVERSITY OF KWAZULU-NATAL	79006	7	384	G
738	BACHELOR OF COMMERCE : ECONOMICS	11	UNIVERSITY OF FREE STATE	16920	6	504	G
127	BACHELOR OF COMMERCE : MANAGEMENT SCIENCES	10	UNIVERSITY OF STELLENBOSCH	19587	6	370	G
691	BACHELOR OF COMMERCE FINANCIAL MANAGEMENT	21	UNIVERSITY OF VENDA	22854	6	424	G
598	BACHELOR OF COMMERCE HONOURS	1	UNISA	5687	8	120	G
874	BACHELOR OF COMMERCE HONOURS IN ACTUARIAL SCIENCE	30	NATIONAL UNIVERSITY OF SCIENCE AND TECHNOLOGY	FSB0229	0	0	G
593	BACHELOR OF COMMERCE HONOURS INSURANCE AND RISK MANAGEMENT	29	MIDLANDS STATE UNIVERSITY	FSB0132	0	0	G
733	BACHELOR OF COMMERCE HONOURS: BUSINESS FINANCE, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	79007	8	128	G
414	BACHELOR OF COMMERCE HUMAN RESOURCE MANAGEMENT	1	UNISA	5563	6	360	G
166	BACHELOR OF COMMERCE: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	73772	6	432	G
51	BACHELOR OF COMMERCE: ACCOUNTING	15	UNIVERSITY OF WESTERN CAPE	7259	6	360	G
803	BACHELOR OF COMMERCE: ACCOUNTING	12	UNIVERSITY OF KWAZULU-NATAL	14780/ 79009	6	416	G
724	BACHELOR OF COMMERCE: BUSINESS FINANCE, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	79006	0	0	G
876	BACHELOR OF COMMERCE: COMMUNICATION	13	RAU	FSB0230	0	0	G
853	BACHELOR OF COMMERCE: ECONOMETRICS	13	RAU	FSB0216	0	0	G
153	BACHELOR OF COMMERCE: ECONOMICS	21	UNIVERSITY OF VENDA	9209	7	476	G
766	BACHELOR OF COMMERCE: ECONOMICS	11	UNIVERSITY OF FREE STATE	16923	6	536	G
761	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT SCIENCE	5	UNIVERSITY OF PRETORIA	7063	7	471	G
307	BACHELOR OF COMMERCE: FINANCIAL PLANNING	14	UNIVERSITY OF PORT ELIZABETH	66093	6	366	G
264	BACHELOR OF COMMERCE: LAW	10	UNIVERSITY OF STELLENBOSCH	15594	6	369	G
890	BACHELOR OF COMMERCE: RETAIL MANAGEMENT	1	UNISA	FSB0246	0	0	G
619	BACHELOR OF COMMERCE: TOURISM MANAGEMENT	5	UNIVERSITY OF PRETORIA	7113	6	426	G
871	BACHELOR OF LAWS	220	THE NATIONAL UNIVERSITY OF LESOTHO	FSB0226	0	0	G
677	BACHELOR OF LAWS (LLB)	10	UNIVERSITY OF STELLENBOSCH	7355	7	480	G
677	BACHELOR OF LAWS (LLB)	193	SGB LEGAL EDUCATION AND TRAINING	22993	7	480	G
768	BACHELOR OF SCIENCE: APPLIED ECONOMICS	226	HOFSTRA UNIVERSITY (NEW YORK)	FSB0242	0	0	G
785	BACHELOR OF SCIENCE: OPERATIONS RESEARCH AND INFORMATION SYSTEMS	1	UNISA	6059	7	360	G

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No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
623	BACHELOR OF TECHNOLOGY MANAGEMENT	1	UNISA	62335	7	480	G
865	CERTIFICATE: CERTIFIED ACCOUNTING TECHNICIAN	218	ASSOCIATION OF CHARTERED CERTIFIED ACCOUNTANTS	20397	5	390	G
866	CERTIFICATE: CHARTERED CERTIFIED ACCOUNTANT	218	ASSOCIATION OF CHARTERED CERTIFIED ACCOUNTANTS	63550	8	915	G
39	CERTIFICATE: FINANCIAL PLANNING	4	MILPARK BUSINESS SCHOOL	62810	5	120	G
573	CERTIFIED INTERNAL AUDITOR (CIA)	89	INSTITUTE OF INTERNAL AUDITORS	FSB 083	0	0	G
864	DEGREE OF CERTIFIED BANKING MANAGER LEVEL 2	224	FRANKFURT SCHOOL OF MANAGEMENT(GERMANY)	FSB0234	0	0	G
843	DIPLOMA IN MANAGEMENT STUDIES	76	MANAGEMENT COLLEGE OF SOUTH AFRICA (MANCOSA)	36084	7	240	G
228	DIPLOMA: BANKING	4	MILPARK BUSINESS SCHOOL	FSB0233	0	0	G
615	DIPLOMA: FINANCIAL MANAGEMENT	138	THE CHARTERED ASSOCIATION OF CERTIFIED ACCOUNTANTS	FSB073	0	0	G
762	DIPLOMA: INVESTMENT ADVICE LEVEL 4	85	CHARTERED INSTITUTE SECURITIES FOR INVESTMENT	FSB0243	0	0	G
469	FELLOW OF ACTUARIAL SOCIETY OF SOUTH AFRICA (FASSA)	118	ACTUARIAL SOCIETY OF SOUTH AFRICA	FSB 062	8	0	G
836	GRADUATE CERTIFICATE: BUSINESS MANAGEMENT "Betriebswirt VWA Dipl. -inh"	196	THE ACADEMY OF BUSINESS ADMINISTRATION AND PUBLIC MANAGEMENT SAARLAND	FSB0206	0	0	G
842	HIGHER CERTIFICATE: WEALTH MANAGEMENT	198	PSG KONSULT LIMITED	83346	5	120	G
564	HIGHER DIPLOMA IN EDUCATION - COMMERCE	10	UNIVERSITY OF STELLENBOSCH	FSB 082	6	480	G
543	ILPA	163	ILPA	FSB0119	0	0	G
888	LICENTIATE IN BUSINESS ADMINISTRATION/ ECONOMICS	225	UNIVERSITY OF ST. GALLEN	FSB0241	0	0	G
504	MASTER OF BUSINESS ADMINISTRATION	201	HENLEY BUSINESS SCHOOL	65089	8	180	G
763	MASTER OF BUSINESS ADMINISTRATION (OXFORD BROOKES UNIVERSITY)	205	BOND UNIVERSITY	FSB0217	0	0	G
193	MASTER OF BUSINESS MANAGEMENT AND ADMINISTRATION	10	UNIVERSITY OF STELLENBOSCH	19608	8	120	G
589	MASTER OF SCIENCE IN INVESTMENT MANAGEMENT	87	CITY BUSINES SCHOOL LONDON	FSB0109	0	0	G
802	MASTER OF SCIENCE: FINANCIAL MANAGEMENT	173	UNIVERSITY OF LONDON	FSB0126	0	0	G
770	MASTERS OF BUSINESS ADMINISTRATION (Heriot-Watt University)	154	HERIOT-WATT UNIVERSITY	FSB0093	0	0	G
22	NATIONAL CERTIFICATE: WEALTH MANAGEMENT	188	SGB INSURANCE AND INVESTMENT	57608/66611	5	120	G
676	NATIONAL DIPLOMA IN COST AND MANAGEMENT ACCOUNTING	129	TECHNIKON SA	62379	6	360	G
624	NATIONAL DIPLOMA: ACCOUNTING	37	DURBAN UNIVERSITY TECHNOLOGY	72209	6	360	G
835	NATIONAL DIPLOMA: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	FSB0205	6	360	G
835	NATIONAL DIPLOMA: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	FSB0220	0	0	G
253	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	86	VAAL UNIVERSITY OF TECHNOLOGY	72723	6	360	G
594	NATIONAL DIPLOMA: RETAIL BUSINESS MANAGEMENT	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78666	6	360	G
764	POST GRADUATE DIPLOMA IN BUSINESS ADMINISTRATION	9	UNIVERSITY OF CAPE TOWN	66517	8	120	G
606	POSTGRADUATE DIPLOMA IN FINANCIAL PLANNING	4	MILPARK BUSINESS SCHOOL	76943	8	160	G
334	POSTGRADUATE DIPLOMA: FINANCIAL PLANNING	11	UNIVERSITY OF FREE STATE	48866	7	160	G
334	POSTGRADUATE DIPLOMA: FINANCIAL PLANNING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	66096	7	120	G
813	PROGRAMME IN ADVANCED BANK MANAGEMENT	1	UNISA	FSB0181	7	96	G
93	PROGRAMME IN RISK MANAGEMENT	1	UNISA	75949	6	108	G