

Financial Advisory and Intermediary Services Act 37 of 2002 & Regulations

Edition: 7th Edition

Publication date: 2020

Author/Editors: Juta's Statutes Editors

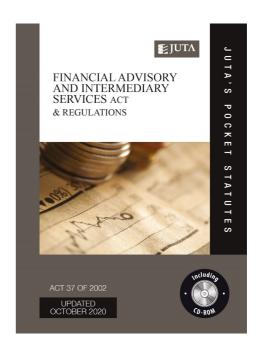
ISBN: 9781485137399 Format: Pocket Size

Number of Pages: 434

Retail price: R392.00 (incl. VAT, excl.

delivery.)

Website Link: juta.co.za/pdf/28344/



About this Publication:

The seventh edition of this title in the *Juta's Pocket Statutes* series reflects the law as at 25 September 2020.

This title is also available as part of a 2-volume set together with the *Financial Intelligence Centre Act 38 of 2001 & Regulations (Juta's Pocket Statutes)*.

Key Benefits:

- Up-to-date
- Accessible
- Affordable

Contents Include:

- Quick Finder for Key Topics
- Financial Advisory and Intermediary Services Act 37 of 2002
- PENDLEX: Act 9 of 2017
- Regulations
- Financial Advisory and Intermediary Services Regulations, GN 879 of 2003
- Notice on Codes of Conduct for Administrative and Discretionary FSPs, BN 79 of 2003
- General Code of Conduct for Authorised Financial Services Providers and Representatives, BN 80 of 2003
- PENDLEX: GN 706 in GG 43474 of 26 June 2020
- Exemption of Authorised Financial Services Providers and Representatives conducting Short-term
 Deposit Business from certain Fit and Proper Requirements and the General Code when rendering
 Financial Services relating to Money Market Funds, BN 135 of 2003
- Code of Conduct for Authorised Financial Services Providers, and their Representatives, involved in Forex Investment Business, BN 39 of 2004
- Specific Code of Conduct for Authorised Financial Services Providers and Representatives conducting Short-term Deposit Business, BN 102 of 2004
- PENDLEX: GN 706 in GG 43474 of 26 June 2020
- Exemption of Services under Supervision in terms of Requirements and Conditions, BN 104 of 2008
- Notice on Requirements for Professional Indemnity and Fidelity Insurance Cover for Providers, BN 123 of 2009
- Notice on Qualifications, Experience and Criteria for Approval of Compliance Officers, BN 127 of 2010
- o Determination of Fit and Proper Requirements, BN 194 of 2017
- CD-ROM: Ombud Rules & Related Material
- Determination of functions to be performed by recognised representative bodies, BN 33 of 2003
- Rules on Proceedings of the Office of the Ombud for Financial Services Providers, BN 81 of 2003
- Determination of Requirements for Reappointment of Debarred Representatives, BN 82 of 2003
- Exemption of Investment Managers from Fit and Proper Requirements, 1 of 2003, BN 97 of 2003
- Determination of Procedure for Approval of Key Individuals, BN 122 of 2003
- Determination of date in terms of section 7(1) of the Act, GN 270 of 2004
- Guidance Notes on Licence Application Procedures (the FAIS Act), BN 26 of 2004
- Exemption of Licensees as regards Display of Certified Copies of Licences, BN 40 of 2004
- Exemption of Licensees as regards References to Licences in Business Documentation, BN 71 of 2004
- Exemption in respect of certain Applicants for Authorisation, BN 94 of 2004
- Exemption of the Intermediaries Guarantee Facility, BN 96 of 2004
- Exemption in respect of Certain Office-holders, BN 97 of 2004
- $\circ~$ Exemption of Certain Insurers from Authorisation, BN 98 of 2004
- Exemption of Sole Proprietors and Partners from Compliance Officer Qualifications and Experience Requirements, BN 99 of 2004
- Exemption of Banks in respect of Certain Clients, BN 103 of 2004
- Form and manner of External Auditor's Report (section 19(3) of FAIS Act), BN 57 of 2005
- Requirements imposed by the Financial Services Board for nominees to operate in South Africa, BN 63 of 2007
- Determination of Form of External Auditor's Report (section 19(3) of the Act), BN 85 of 2008
- Determination of Continuous Professional Development Requirements, BN 103 of 2008
- Applications by representative bodies for recognition by the Financial Services Board, BN 153 of 2008
- Determination of Examination Body Criteria, BN 154 of 2008 Approval of a Foreign Qualification, BN 570 of 2008
- Notice on Hedge Fund FSP Disclosures, BN 571 of 2008
- Application by Financial Services Providers for authorisation by the Financial Services Board, BN 60 of 2009
- Exemption of the South African Nuclear Pool Administrators, BN 98 of 2009
- Notice on Exemption of Financial Services Providers who submit compliance reports in the prescribed electronic format from the date prescribed for the submission of the reports, BN 99 of

2009

- Exemption of Banks, BN 172 of 2009
- Exemption of Certain FSPs and Representatives from Qualification Requirements, BN 173 of 2009
- Exemption in respect of Services under Supervision rendered by Compliance Officers, BN 126 of 2010
- Exemption of FSPs and Representatives from Conflict of Interest Provisions, BN 144 of 2011
- Exemption of Foreign FSPs, BN 166 of 2011
- Exemption of FSPs and FSPs limited by products from Audit Requirements, BN 193 of 2011
- Exemption of Certain Financial Services Providers from the Professional Indemnity and Fidelity Insurance Cover Requirements, BN 139 of 2012
- Exemption of Particular Persons from section 7(1) of the Act, BN 140 of 2012
- General Exemption from Continuous Professional Development Requirements, BN 163 of 2012
- Exemption of Compliance Officers from the Regulatory Examination, BN 207 of 2012
- Exemption of Certain Persons conducting Financial Services related business with a Private Equity Fund, BN 208 of 2012
- Exemption of Burial Societies and Stokvels, BN 43 of 2013
- Exemption from Level 1 Regulatory Examination until finalisation of Application for Exemption, BN 65 of 2013
- Compliance Report for Category I FSPs without a Compliance Officer, BN 105 of 2013
- Compliance Report for Category I FSPs with a Compliance Officer, BN 106 of 2013
- Bi-Annual Compliance Report for Categories II and IIA FSPs, BN 107 of 2013
- Bi-Annual Compliance Report for Category III FSPs, BN 108 of 2013
- Compliance Report for Category IV FSPs, BN 109 of 2013
- Compliance Report for Foreign FSPs, BN 110 of 2013
- Compliance Report for an FSP substituting its Compliance Officer during reporting period, BN 111 of 2013
- Determination of Compliance Report for a Financial Services Provider who has appointed a Compliance Officer during the reporting period, BN 112 of 2013
- General Exemption: Level 1 Regulatory Examination, BN 119 of 2013
- General Exemption from the Second Level Regulatory Examination Requirements, BN 120 of 2013
- Determination of Fees payable to the Registrar of Financial Services Providers, GN 89 of 2018
- Notice on the Form of Licence, BN 89 of 2018

Of Interest and Benefit to:

- Compliance officers
- Auditors
- All product suppliers issuing financial products covered by the Act
- Students and lecturers
- State organs and other financial services industry regulators and representative and advisory bodies