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PREPARATION GUIDE FOR LEVEL 1 REGULATORY ...

The material in this PREPARATION GUIDE FOR LEVEL 1 REGULATORY EXAMINATIONS (RE 1 AND RE 5) and APPENDIX The following material was used in the development of the questions for the Regulatory level 1 exams; please refer The FAIS Act as amended by the Financial Services Laws General Amendment Act 45 of 2013 General Code of Conduct FIC Act

Applicable for Examinations as from 1 February 2019

The following material was used in the development of the questions for the Regulatory exams; please refer to Appendix A for a mapping of criteria to relevant material: The FAIS Act as amended by the Financial Services Laws General Amendment Act 45 of 2013 ...

FSB REGULATORY EXAMINATION PREPARATION © INSETA

of the FAIS Act and the general Code of Conduct 44 110 The roles and responsibilities of the key individual in terms of FAIS 48 Summary 64 Self-Assessment Questions 65 TOPIC 2: CONTRIBUTE TOWARDS OBTAINING AN FSP LICENCE 69 21 The requirements that an FSP must meet to maintain a ...

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Regulatory Examinations Preparation FSPs (Sole Proprietors ...

The FAIS Registrar is responsible for administration and enforcement of the Act, and the Registrar has defined functions, powers and obligations The FAIS Registrar authorises and issues licences to FSPs

RE 5 Self Study Guide - Representatives V5

The FAIS Act regulates the business of all financial service providers and intermediaries who give advice or provide intermediary services to clients The Act aims to professionalise the financial services industry and to provide adequate consumer protection The FAIS Act follows a functional approach and not an institutional approach

SECTION 1: FIRST LEVEL REGULATORY EXAMINATION: FSPs ...

RE Exam 1 Section 1: First Level Regulatory Examination: and Proper regulations of the FAIS Act students three opportunities to practice with questions similar to those set for the FSB Regulatory Examination These examinations will be Internet-based and students will be able to access the examinations via a standard

PREPARATION UI OR R ULATORY XAMINATIONS (R 1 and R 5)

The regulatory exams are being developed and delivered under the direction and management of the FSCA Four examination bodies were appointed to assist with the development of the regulatory exam questions and the delivery on a national basis Currently there is one examination body: Moonstone www.moonstone.co.za

INSETA Preparation Guidelines for Regulatory Examinations

INSETA Preparation Guidelines for Regulatory Examinations Click on the image below to access all of INSETA's Preparation Guidelines for the Regulatory Examinations Please note that by clicking you will be re-directed to INSETA's website where you may be required to provide certain details before you can access the required information

FAIS FIT AND PROPER INFORMATION GUIDE

The FSB have appointed 4 Examining Bodies to develop and deliver the Regulatory Exams A support structure has been set up by the FSB to make the regulatory There is still much confusion between FAIS Credits and regulatory examinations Credits -The Act requires all financial advisors and intermediaries (providers) to meet

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SECTION 1: FIRST LEVEL REGULATORY EXAMINATION: and ...

RE Exam 1 Section 1: First Level Regulatory Examination: Implications of sections 8 and 13 of the FAIS Act 6 Debarment 7 The regulatory environment in which the FSP functions 8 Obligations in the Codes of Conduct approach to multiple choice questions) as well as the content of the selected regulatory examination

RE 1 - First Level Regulatory Examination - Applicants and ...

Page 2 of 13 RE 1 - FIRST LEVEL REGULATORY EXAMINATION - APPLICANTS AND/OR KEY INDIVIDUALS IN CATEGORY I, II, IIA AND III (1) The first level regulatory examination will be developed taking into account that applicants and key individuals are required to understand the FAIS Act,

the FIC Act, and the subordinate legislation to the

Preparation Guide Examinations RE3 PREPARATION GUIDE ...

The regulatory exams are being developed and delivered under the direction and management of the FSB Four examination bodies have been appointed to assist with the development of the regulatory exam questions and the delivery on a national basis The approved examination bodies are as follow:

FAIS REGULATORY EXAMINATIONS Table of Contents

1 To develop the regulatory examinations questions, and 2 To deliver the regulatory examinations on a national and international basis The approval criteria that were used can be found in the following legislation: FAIS Act Section 6(3) FAIS Act Section 6(4)

RE 5 Self Study Guide Representatives (from Regulatory ...

regulatory examination The assessment questions are intended to assist you in determining the extent to which you have integrated the required knowledge and whilst every effort has been made to provide questions that mirror the examination question, we cannot guarantee that these questions reflect the exact examination questions

FAIS Newsletter Volume 26 May 2018 - fsca.co.za

FAISExams@fscacoza Warning: Training Manuals for Regulatory Examinations Information That Is Available To All questions in the first level regulatory examinations for representatives (RE5) will focus on the legislation from a representative's perspective The same

TRAINING SERVICES, PRODUCTS & COURSES

FAIS REGULATORY EXAMS: TRAINING AND PRODUCTS Introduction We offer a wide range of services to help representatives and key individuals to successfully complete the level 1 regulatory exam through our resource centre The workshops and resources are suited to representatives and key individuals at all levels

Valid for Examinations up to 31 January 2019

The following material was used in the development of the questions for the Regulatory exams; please refer to Appendix A for a mapping of criteria to relevant material: The FAIS Act as amended by the Financial Services Laws General Amendment Act 45 of 2013 ...