

# QUALIFICATIONS APPLICATION FORM

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### Guidelines:

- In order to apply for a qualification to be recognised for inclusion on the List of Recognised Qualifications for Fit and Proper purposes, please complete forms QA1 – QA8.
- Please ensure that the following documents are included / attached to the application:
  - a. *Statement of Results / Transcript – the modules / subjects / content of the qualification must be clearly identifiable*
  - b. *Qualification certificate*
  - c. *Proof of Payment*
- Please note that incomplete application forms will not be considered.
- All qualification applications must be submitted to:

| Hard copy submissions:   | Electronic submissions:        |
|--|--------------------------------|
| <b>FAIS Qualifications</b><br>Riverwalk Office Park, Block B<br>41 Matroosberg Rd (Corner Garsfontein and Matroosberg Roads) Ashlea Gardens, Extension 6, Menlo Park | fais.qualifications@fsca.co.za |

|  |
|--|
| <b>Business Information of Applicant</b> |
|--|

|     |  |                        |                     |  |                       |                      |
|-----|--|------------------------|---------------------|--|-----------------------|----------------------|
| 1.1 | Applicant Name and ID number                           |                        |                     |  |                       |                      |
| 1.2 | Trading Name / Division / FSP number                   |                        |                     |  |                       |                      |
| 1.3 | Type of Business                                       | University             | Technikon / College | Accredited Provider  | Professional Body     | Industry Association |
|     |  | Other (Please specify) |                     |  |                       |                      |
| 1.4 | Contact Details  |                        |                     |  |                       |                      |
|     | Physical Address                                       |                        |                     |  |                       |                      |
|     | Postal Code  |                        |                     |  |                       |                      |
|     | Postal Address   |                        |                     |  |                       |                      |
|     | Postal Code  |                        |                     |  |                       |                      |
|     | Telephone Number                                       |                        |                     |  |                       |                      |
|     | Website Address  |                        |                     |  |                       |                      |
| 1.5 | Contact Person   |                        |                     |  |                       |                      |
|     | Title  |                        |                     |  |                       |                      |
|     | Initials   |                        |                     |  |                       |                      |
|     | Surname  |                        |                     |  |                       |                      |
|     | Telephone Number                                       |                        |                     |  |                       |                      |
|     | Cell Phone Number                                      |                        |                     |  |                       |                      |
| 1.6 | Date of this Application                               |                        |                     |  |                       |                      |
| 1.7 | Is this the first application that you have submitted? | Yes                    | No                  | If no, please provide the date(s) and qualification title(s) of the previous applications submitted: |                       |                      |
|     |  |                        |                     | <u>Date:</u>   | <u>Qualification:</u> |                      |
|     |  |                        |                     |  |                       |                      |
|     |  |                        |                     |  |                       |                      |
|     |  |                        |                     |  |                       |                      |

|                              |
|------------------------------|
| <b>Qualification Details</b> |
|------------------------------|

**Please Note:**

***Any incomplete information may lead to the qualification not being considered for recognition and inclusion on the Fit and Proper List of Recognised Qualifications. Please ensure that all information is complete.***

|      |   |   |                                     |  |  |
|------|---|---|-------------------------------------|--|--|
| 2.1  | Qualification Title   |   |                                     |  |  |
| 2.2  | Please indicate which of the following categories the qualification should be allocated to: | (a) Unit standard-based (or exit level outcomes-based) qualification registered on the National Qualification Framework | (b) Higher Education Qualification  | (c) Professional Qualification                   |  |
|      |   | (d) Foreign Qualification   | (e) Qualification no longer offered | (f) Other (please specify in the space provided) |  |
|      |   | Please note: <b>The section below is only completed if the qualification is SAQA registered.</b>                        |                                     |  |  |
| 2.3  | SAQA Qualification ID   |   |                                     |  |  |
| 2.4  | Learning Field  |   | 2.5                                 | Learning sub-field                               |  |
| 2.6  | Credits   |   | 2.7                                 | Level  |  |
| 2.8  | Registration status   |   | 2.9                                 | Registration start date                          |  |
| 2.10 | Registration end date   |   | 2.11                                | SAQA decision number                             |  |
| 2.12 | Registered Provider   |   |                                     |  |  |

|                              |
|------------------------------|
| <b>Qualification Details</b> |
|------------------------------|

|      |   |                        |                 |                            |
|------|---|------------------------|-----------------|----------------------------|
| 2.13 | Qualification Type (please mark with X)   |                        |                 |                            |
|      | National Certificate  | National Diploma       | National Degree | Professional Qualification |
|      | National Higher Diploma   | National Higher Degree | Honours Degree  | Masters Degree             |
|      | National Higher Certificate<br>Other (Please specify below)                               |                        |                 |                            |
| 2.14 | Are there any pre-requisite requirements in order to register for this qualification?     |                        | Yes             | No                         |
|      | If "Yes", please list the requirements and explain the requirements where applicable.     |                        |                 |                            |
| 2.15 | Does this qualification replace any other qualification?                                  |                        | Yes             | No                         |
|      | If "Yes", please specify which qualification will be replaced by this qualification:      |                        |                 |                            |
| 2.16 | Will this qualification be replaced by any other qualification within the next 18 months? |                        | Yes             | No                         |
|      | If "Yes", please specify which qualification will be replacing this qualification         |                        |                 |                            |
| 2.17 | Is the qualification available nationally?  |                        | Yes             | No                         |
| 2.18 | Is this a foreign qualification?  |                        | Yes             | No                         |
|      | If "Yes", was a certificate of equivalence issued by SAQA?                                |                        | Yes             | No                         |
|      | If "Yes", please provide detail:  |                        |                 |                            |

**Qualification Details**

|      |  |
|------|--|
| 2.19 | What are the purpose and the rationale of this qualification? <b>Please explain in detail below:</b> |
|      |  |

**Qualification Content**

|     |  |   |
|-----|--|---|
| 3.1 | Is the qualification a modular based qualification? <b>If not, please provide details of the content of the qualification.</b> |   |
|     |  |   |
|     | Please note: <i>The section below is only completed if the applicant is the Learning Institution</i>                           |   |
| 3.2 | Please provide a detailed breakdown / description of the content of <b>each</b> Module / Subject listed above:                 |   |
|     | <b>Module / Subject</b>  | <b>Breakdown / Description of Content</b> |
|     |  |   |
|     |  |   |
|     |  |   |

**Qualification Content**

| 3.2 | <i>Module / Subject</i> | <i>Breakdown / Description of Content</i> |
|-----|-------------------------|---|
|     |                         |   |
|     |                         |   |
|     |                         |   |
|     |                         |   |

| 3.2 | <b>Module / Subject</b> | <b>Breakdown / Description of Content</b> |
|-----|-------------------------|---|
|     |                         |   |
|     |                         |   |
|     |                         |   |
|     |                         |   |

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**Qualification Content**

|     |   |
|-----|---|
| 3.3 | <p>Is the structure of the qualification static? I.e. can the structure of the qualification change significantly based on what type of core / elective modules / subjects that are chosen?<br/><b>Provide details.</b></p> |
| 3.4 | <p>Regardless of how the qualification is structured in terms of the various electives that can be selected– can all the various combinations of the qualification be recognised?<br/><b>Provide details.</b></p>           |

## Qualification Applicability

**Disclaimer: If a qualification is applicable to other Licence Category/ Categories, it may be recognised as such.**

### 4.1 Please note the following:

➤ *Applications will only be considered for the licence Category / Categories and sub-categories selected below.*

➤ **Option 1: Recognition per Licence Category / Categories**

*If the qualification must be recognised for a **licence Category / Categories** then selecting the relevant license Category / Categories will mean that the qualification should be recognised for **all the financial products** (subcategories) for that specific licence Category / Categories. (This option can be selected in conjunction with Option 3 below.)*

➤ **Option 2: Limited recognition – Recognition for selected financial product sub-categories ONLY**

*If the qualification must be recognised **ONLY** for specific financial product sub-categories due to the limited scope of the content of the qualification, then only the financial product sub-categories must be selected for which the qualification should be recognised. (This option can be selected in conjunction with Option 3 below.)*

➤ **Option 3: Other**

*If the qualification must be recognised for **all key individuals and/or all compliance officers**, then this must be indicated under Option 3. (This option can be selected in conjunction with Option 1 or Option 2 above.)*

### **OPTION 1: Recognition per License Category / Categories**

*(Includes all financial product sub-categories)*

|                          | ✓ | <b>Is the content of the qualification relevant the Licence Category / Categories selected?</b> |
|--------------------------|---|---|
| Category I only          |   |   |
| Category II only         |   |   |
| Category IIA only        |   |   |
| Category III only        |   |   |
| Category IV only         |   |   |
| Category I <b>and</b> IV |   |   |
| All Categories           |   |   |

| <b>OPTION 2:</b>   |   |                                     |  |
|--|---|-------------------------------------|--|
| <b>Limited recognition per financial product sub-category / categories</b><br><i>(Limited to only the selected financial product sub-categories)</i> |   |                                     |  |
| <b>Financial sub-categories</b>  |   | <input checked="" type="checkbox"/> | <b>Is the content of the qualification relevant to the financial product sub-category / categories selected?</b> |
| <b>1</b>   | <b>CATEGORY I</b>   |                                     |  |
| 1.1  | Long-term Insurance subcategory A                                   |                                     |  |
| 1.2  | Short-term Insurance Personal Lines                                 |                                     |  |
| 1.3  | Long-term Insurance subcategory B1                                  |                                     |  |
| 1.4  | Long-term Insurance subcategory C                                   |                                     |  |
| 1.5  | Retail Pension Benefits   |                                     |  |
| 1.6  | Short-term Insurance Commercial Lines                               |                                     |  |
| 1.7  | Pension Fund Benefits   |                                     |  |
| 1.8  | Shares  |                                     |  |
| 1.9  | Money-market instruments  |                                     |  |
| 1.10   | Debentures and securitised debt                                     |                                     |  |
| 1.11   | Warrants, certificates or other instruments                         |                                     |  |
| 1.12   | Bonds   |                                     |  |
| 1.13   | Derivative instruments  |                                     |  |
| 1.14   | Participatory interest in one or more collective investment schemes |                                     |  |
| 1.15   | Forex Investment  |                                     |  |
| 1.16   | Health Service Benefits   |                                     |  |
| 1.17   | Long-term Deposits  |                                     |  |
| 1.18   | Short-term Deposits   |                                     |  |
| 1.19   | Friendly Society Benefits   |                                     |  |
| 1.20   | Long-term Insurance subcategory B2                                  |                                     |  |
| 1.21   | Long-term Insurance subcategory B2-A                                |                                     |  |
| 1.22   | Long-term Insurance subcategory B1-A                                |                                     |  |
| 1.23   | Short-term Insurance Personal Lines A1                              |                                     |  |
| 1.24   | Structured Deposits   |                                     |  |
| 1.25   | Securities and instruments  |                                     |  |
| 1.26   | Participatory interest in a hedge fund                              |                                     |  |
| 1.27   | Crypto Assets   |                                     |  |

| <b>OPTION 2:</b>   |  |   |  |
|--|--|---|--|
| <b>Limited recognition per financial product sub-category / categories</b><br><i>(Limited to only the selected financial product sub-categories)</i> |  |   |  |
| <b>Financial sub-categories</b>  |  | ✓ | <b>Is the content of the qualification relevant to the financial product sub-category / categories selected?</b> |
| <b>2</b>   | <b>CATEGORY II</b>   |   |  |
| 2.1  | Long-term Insurance subcategory B1                                   |   |  |
| 2.2  | Long-term Insurance subcategory C                                    |   |  |
| 2.3  | Retail Pension Benefits  |   |  |
| 2.4  | Pension Fund Benefits  |   |  |
| 2.5  | Shares   |   |  |
| 2.6  | Money market instruments   |   |  |
| 2.7  | Debentures and securitised debt                                      |   |  |
| 2.8  | Warrants, certificates and other instruments                         |   |  |
| 2.9  | Bonds  |   |  |
| 2.10   | Derivative instruments   |   |  |
| 2.11   | Participatory Interests in one or more collective investment schemes |   |  |
| 2.12   | Forex Investment   |   |  |
| 2.13   | Long-term Deposits   |   |  |
| 2.14   | Short-term Deposits  |   |  |
| 2.15   | Long-term Insurance subcategory B2                                   |   |  |
| 2.16   | Long-term Insurance subcategory B2-A                                 |   |  |
| 2.17   | Long-term Insurance subcategory B1-A                                 |   |  |
| 2.18   | Structured Deposits  |   |  |
| 2.19   | Securities and instruments   |   |  |
| 2.20   | Participatory interest in a hedge fund                               |   |  |
| 2.21   | Crypto Assets  |   |  |
| <b>2</b>   | <b>CATEGORY IIA</b>  |   |  |
| 2A.1   | Long-term Insurance subcategory B1                                   |   |  |
| 2A.2   | Long-term Insurance subcategory C                                    |   |  |
| 2A.3   | Retail Pension Benefits  |   |  |
| 2A.4   | Pension Fund Benefits  |   |  |
| 2A.5   | Shares   |   |  |
| 2A.6   | Money market instruments   |   |  |
| 2A.7   | Debentures and securitised debt                                      |   |  |
| 2A.8   | Warrants, certificates and other instruments                         |   |  |
| 2A.9   | Bonds  |   |  |
| 2A.10  | Derivative instruments   |   |  |
| 2A.11  | Participatory Interests in one or more collective investment schemes |   |  |
| 2A.12  | Forex Investment   |   |  |

|          |  |  |  |
|----------|--|--|--|
| 2A.13    | Long-term Deposits   |  |  |
| 2A.14    | Short-term Deposits  |  |  |
| 2A.15    | Long-term Insurance subcategory B2                                   |  |  |
| 2A.16    | Long-term Insurance subcategory B2-A                                 |  |  |
| 2A.17    | Long-term Insurance subcategory B1-A                                 |  |  |
| 2A.18    | Structured Deposits  |  |  |
| 2A.19    | Securities and instruments   |  |  |
| 2A.20    | Participatory interest in a hedge fund                               |  |  |
| 2A.21    | Crypto Assets  |  |  |
| <b>3</b> | <b>CATEGORY III – ADMINISTRATIVE FSP</b>                             |  |  |
| 3.1      | Long-term Insurance subcategory B1                                   |  |  |
| 3.2      | Long-term Insurance subcategory C                                    |  |  |
| 3.3      | Retail Pension Benefits  |  |  |
| 3.4      | Pension Fund Benefits  |  |  |
| 3.5      | Shares   |  |  |
| 3.6      | Money market instruments   |  |  |
| 3.7      | Debentures and securitised debt                                      |  |  |
| 3.8      | Warrants, certificates and other instruments                         |  |  |
| 3.9      | Bonds  |  |  |
| 3.10     | Derivative instruments   |  |  |
| 3.11     | Participatory Interests in one or more collective investment schemes |  |  |
| 3.12     | Forex Investment   |  |  |
| 3.13     | Long-term Deposits   |  |  |
| 3.14     | Short-term Deposits  |  |  |
| 3.15     | Long-term Insurance subcategory B2                                   |  |  |
| 3.16     | Long-term Insurance subcategory B2-A                                 |  |  |
| 3.17     | Long-term Insurance subcategory B1-A                                 |  |  |
| 3.18     | Structured Deposits  |  |  |
| 3.19     | Securities and instruments   |  |  |
| 3.20     | Participatory interest in a hedge fund                               |  |  |
| 3.21     | Crypto Assets  |  |  |
| <b>4</b> | <b>CATEGORY IV – ASSITANCE BUSINES FSP</b>                           |  |  |

|                  |                    |  |  |
|------------------|--------------------|--|--|
| <b>OPTION 3:</b> |                    |  |  |
| <b>Other</b>     |                    |  |  |
|                  | Key Individuals    |  |  |
|                  | Compliance Officer |  |  |

|      |  |
|------|--|
| 4.2. | Is there any additional information you can provide to motivate the relevancy and applicability of this qualification to the financial services industry, and/or financial products in particular? |
|      |  |

Form QA 5 – Page 1 of 1

|                                    |
|------------------------------------|
| <b>Legitimacy of Qualification</b> |
|------------------------------------|

|      |   |
|------|---|
| 5.1. | You have stated the provider name in Form QA 2 item 2.12. Is there more than one provider that is delivering this particular qualification?<br>Please provide the details of these providers below: |
|      |   |
| 5.2. | Is there widespread recognition in the financial services industry of this particular qualification? Please motive your answer in detail:   |
|      |   |
| 5.3. | What is the current reputation / standing of this qualification within the financial services industry as well as in the training and education field?  |
|      |   |

Form QA 6 – Page 1 of 1

|                           |
|---------------------------|
| <b>Assessment Details</b> |
|---------------------------|

|      |   |
|------|---|
| 6.1. | Please state what assessment methods / tests are used <u>DURING</u> the learning process? |
|------|---|

|      |  |
|------|--|
|      | <p>For example: written tests, group assignments, individual assignments, etc.<br/> Please provide as much details as possible regarding the assessment methods used:</p>  |
| 6.2  | <p>Please state what assessment methods/ tests are used as a <u>FINAL</u> assessment at the <u>END</u> of the learning process (on completion of the qualification). For example: open book examination, closed book examination, portfolio of evidence, etc.<br/> Please provide as much details as possible regarding the assessment methods used:</p> |
| 6.3  | <p>Please provide an indication of what outcomes / objectives are assessed in the final assessment for this qualification?</p>   |
| 6.4. | <p>Please indicate what is the pass mark for the qualification:</p>  |
|      |  |

Form QA 7 – Page 1 of 1

**Additional Motivation**

Please complete the additional motivation if there is any additional information that should be taken into consideration that was not included in the application form:

|  |
|--|
|  |
|  |



|  |  |  |
|--|--|--|
| and any additional documentation provided<br>as confidential |  |  |
|--|--|--|

\_\_\_\_\_  
**Signature of applicant**

\_\_\_\_\_  
**Date**

Form QA 9 – Page 1 of 1

|                        |
|------------------------|
| <b>Application Fee</b> |
|------------------------|

A fee of \*R2 722 is payable per application / per qualification, and proof of payment must be attached to this application form when submitting the application.

The following persons must be contacted to obtain the correct bank account details in order to make payment:

**FSCA Finance Department**

**Contact person:**

1. Mmaphori Serepo

012 422 2942

[Mmaphori.Serepo@fsca.co.za](mailto:Mmaphori.Serepo@fsca.co.za)

*\* The fees are effective from 01 October 2024 – please refer to (FSCA General Notice 1 of 2024 –Determination of Fees)*