



FSCA COMMUNICATION 13 OF 2023 (FAIS)

Access to recordings of workshops held for Financial Services Providers

1. PURPOSE

The purpose of this Communication is to inform registered Financial Services Providers (FSPs) that recordings of recent workshops hosted by the Financial Sector Conduct Authority (FSCA) are now available on the FSCA YouTube channel and to provide additional detail in this regard.

2. BACKGROUND

- 2.1. The FSCA conducted two virtual workshops for FSPs during March 2023.
- 2.2. Recordings of both workshops are now available for viewing on the FSCA YouTube channel through the links provided below.
- 2.3. Both workshops are accredited for Continuous Professional Development (CPD) purposes with the Financial Planning Institute.
- 2.4. Attendees who wish to obtain the accredited CPD recognition will be required to complete an assessment. The links to the assessments are available below.

3. DETAILS OF THE WORKSHOPS

3.1. WORKSHOP 1

Topic: Amendments to the General Code of Conduct for Authorised Financial Services Providers and Representatives 2022, under the Financial Advisory and Intermediary Services Act, No. 37 of 2002 (FAIS General Code)

Contents:

- Amendments per Board Notice 706 of 2020: 26 June 2020
- Amendments per General Notice 2814 of 2022: 2 December 2022
- Highlights, findings and industry trends identified by the FSCA

Links: Click [here](#) to access the recording and to register and complete the assessment.
Click [here](#) to access the presentation.

3.2. WORKSHOP 2

Topic: FSPs and managing representatives

Contents:

- FSPs and representatives
- Competence requirements for representatives
- Services under supervision
- Execution of sales
- Managing representatives
- Debarment

Links: Click [here](#) to access the recording and to register and complete the assessment.
Click [here](#) to access the presentation.

4. ENQUIRIES

4.1. For more information about this Communication and the above workshops, please contact:

- Ms Charene Nortier: Charene.Nortier@fsca.co.za
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4.2. This Communication is available on the FSCA's website (www.fsca.co.za) at the following path:
Home > Regulatory Frameworks > Industry Communication > FAIS > FSCA Communication.



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