

FSCA COMMUNICATION 9 OF 2023 (FAIS)

Workshops for Financial Services Providers - March 2023

1. PURPOSE

The purpose of this Communication is to inform registered Financial Services Providers (FSPs) that the Financial Sector Conduct Authority (FSCA) will host two workshops during March 2023, and to provide additional information in this regard.

2. BACKGROUND

- 2.1 The FSCA will host virtual workshops for FSPs on 27 and 30 March 2023. Further details regarding the focus of these workshops are contained below.
- 2.2 Both workshops will be accredited for Continuous Professional Development (CPD) purposes with the Financial Planning Institute.
- 2.3 Attendees who wish to obtain the accredited CPD recognition will be required to complete an assessment. A separate communication with links to the assessments will be published after the workshops.
- 2.4 The assessment communication will also contain links to recordings of the workshops. The recordings will be hosted on the FSCA YouTube channel.

3. DETAILS OF WORKSHOPS

3.1 WORKSHOP 1

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

Date: 27 March 2023

Time: 09:00 – 12:00

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 register for the workshop

3.2 WORKSHOP 2

Topic: FSPs and managing representatives

Date: 30 March 2023

Time: 09:00 – 12:00

Contents:

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

Link: Click [here](#) to register for the workshop

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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