

COURSE OVERVIEW

All Key Individuals or prospective Key Individuals who are/will be responsible for managing and overseeing the business relating to the rendering financial services for FSPs in Category I, II, IIA, III and IV are required to write this examination. By attending our ONE DAY Regulatory One Exam preparation workshop, you will gain a better understanding of what the exam consists of, and how to better equip yourself for passing.

Clarification on who should be writing this exam:

- If you are a key individual who does not have a client base or render any advice to clients, you will have to write the first level regulatory examination for key individuals (RE1)
- If you are also a representative you will have to write the first level representative examination (RE5).
- If you are a sole proprietor, or if you fulfil the roles of both the key individual and representative, you will be required to write both examinations.

THE COURSE COVERS:

Obligations of the Code of Conduct:

- When receiving client funds or premiums
- Handling complaints
- Custody
- Risk management
- Insurance
- Advertising
- Termination
- Disclosures to clients and product suppliers
- Transparency and conflict of interest
- Distinction between advice and intermediary service
- Ethical conduct
- Handling complaints

Oversee the Compliance Function

FSP Licensing conditions

Lapsing of FSP License

Record Keeping

Manage FSP Infrastructure

Auditing and Accounting Requirements

Fica

Roll and Power of Ombud

COURSE DURATION:

1 Day 08:30-16:30

COURSE FEE:

Public Course: R1000.00 per delegate

In-House Course: R750.00 per delegate

Discounts & Terms and Conditions apply.

WHO SHOULD ATTEND:

- **Key Individuals**
- **Sole Proprietors**