

COURSE OVERVIEW

All Representatives, including those employed or mandated by an FSP, who render a financial service to a client, are required to write this examination. Any person rendering clerical, technical, administrative, legal, accounting or other service in a subsidiary or subordinate capacity which does not require judgment or does not lead to a specific transaction in respect of a financial product in response to general enquiries are excluded from writing. 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.

THE COURSE COVERS:

The role and responsibilities of the Representative and Key Individual

The prescribed licensing process and consequences of no longer meeting the Fit and Proper requirements

The ability to execute the actions required of a Representative in terms of the Code of Conduct

Representatives obligations:

- 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
- Providing Advice

Knowledge of Financial Products

Debarment

Role and function of Compliance Officer

Record Keeping

Fica

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:

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