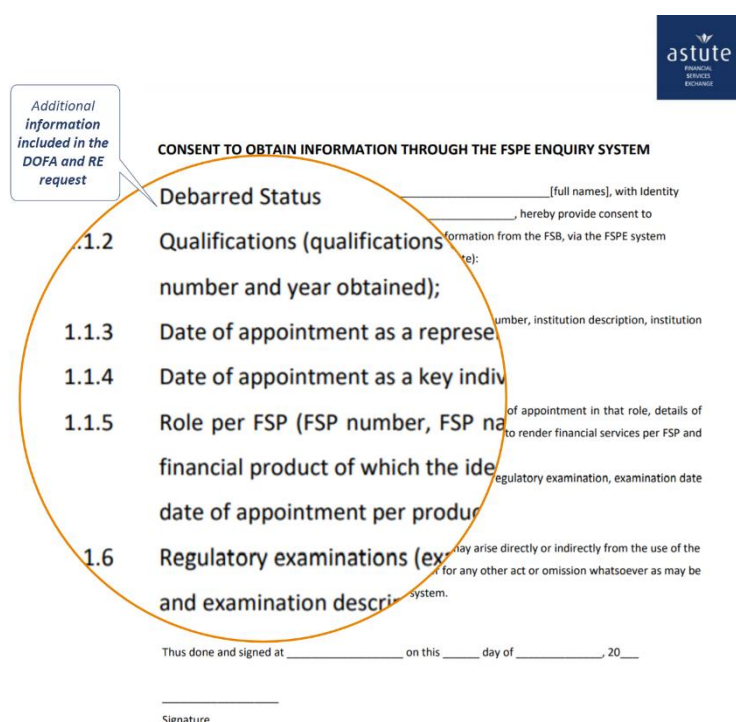


1 Get Personal Fp Details

This is a separate Web Services request to obtain DOFA and RE information.

The DOFA and RE **data is from the FSB, but it is an individual call from a different data source**, meaning it is not part of the daily file that the FSB sends to Astute.

The data subject needs to provide consent to the enquirer before submitting a request.



CONSENT TO OBTAIN INFORMATION THROUGH THE FSPE ENQUIRY SYSTEM

I, _____ [full names], with Identity Number _____, hereby provide consent to obtain information from the FSB, via the FSPE system (re):

1.2 Debarred Status

1.1.2 Qualifications (qualifications number and year obtained);

1.1.3 Date of appointment as a representative

1.1.4 Date of appointment as a key individual

1.1.5 Role per FSP (FSP number, FSP name, details of appointment in that role, details of financial product of which the individual is responsible to render financial services per FSP and regulatory examination, examination date)

1.6 Regulatory examinations (examination date, examination description, examination date)

Thus done and signed at _____ on this _____ day of _____, 20____

Signature

The Consent Form caters for additional information:

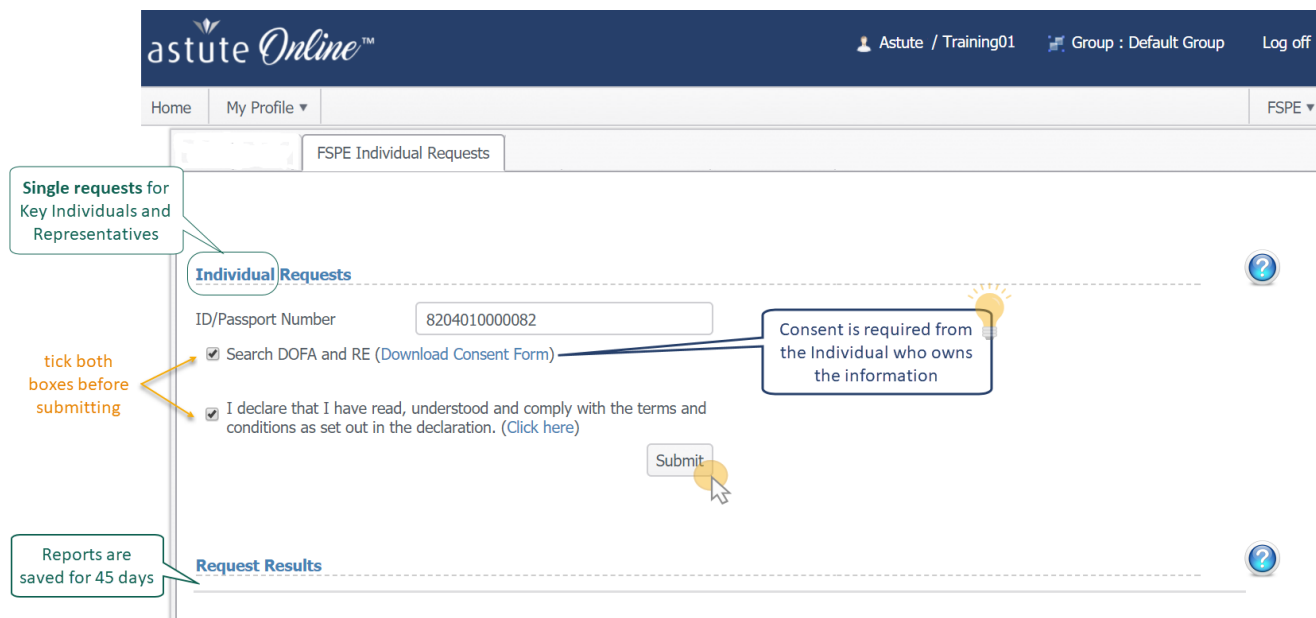
- **Debarred status:** is available as a feed
- **Qualification details:**
 - Qualification description and number
 - Institution description and number
 - Year obtained
- **Date of first appointment at the FSB** as a Representative or Key Individual
- **Role per FSP:** details of the current FSPs the Individual is linked to
- **Regulatory Examination (RE) details:**
 - Type of exam paper passed
 - Exam date
 - Exam description

Below is how to request this information on Astute Online:



1.1 Submit a Request

Once consent has been received from the Key Individual and/or Representative, log into Astute Online and refer to the **FSPE Individual Requests** dashboard, as shown below:



The screenshot shows the 'astute Online™' interface. The top navigation bar includes 'Home', 'My Profile', and 'FSPE'. The main content area is titled 'FSPE Individual Requests'. A callout box on the left states: 'Single requests for Key Individuals and Representatives'. The 'Individual Requests' section contains a form with the following fields and options:

- ID/Passport Number: 8204010000082
- ☒ Search DOFA and RE (Download Consent Form)
- ☒ I declare that I have read, understood and comply with the terms and conditions as set out in the declaration. ([Click here](#))
- [Submit](#) button

Annotations include:

- A yellow arrow pointing to the checkboxes with the text: 'tick both boxes before submitting'.
- A blue callout box pointing to the 'Search DOFA and RE' checkbox with the text: 'Consent is required from the Individual who owns the information'.
- A blue callout box pointing to the 'Request Results' section with the text: 'Reports are saved for 45 days'.

- Click on the **Submit** button to view the schedule.

1.2 View and Interpret the Result

Home	My Profile ▾	FSPE ▾
------	--------------	--------

Results Schedule

Download Pdf

IDENTITY/PASSPORT NUMBER	8204010000082
NAME	PIET POMPIES
REP DEBARRED OR PREVIOUSLY X/S REFERENCED (DATE)	N/A
REP DEBARRED OR PREVIOUSLY X/S REFERENCED	No
APPOINTMENT/APPROVAL (DOFA)	
DATE OF FIRST APPROVAL/APPOINTMENT	

1. The information contained below is a reflection of the registrar's records as of the date the record was issued.

2. The FAIS Act came into effect on 30 September 2004 and an individual cannot have a DOFA date which precedes 30 Sep 2004.

3. The information contained in this document is confidential in nature. Where the information is a third party, the information may only be used by the recipient for its intended purpose i.e. the purpose for which it was collected, and for which consent was obtained.

4. Any queries relating to the information reflected in the DOFA record must be submitted to Support@astutefse.com.

The initial paragraph is summarised as follows:

- **X/S Reference** – If Individuals were found on the old S-Reference system (database), the data will return with either a YES or NO. Where applicable, the date will also reflect. However, the X/S Reference data may fall-away after the 3 or 5-year ruling has expired.
- An individual cannot have a DOFA date that precedes the 30th of September 2004.

SECTION A: DATE OF FIRST APPROVAL / APPOINTMENT IN THE FINANCIAL SERVICES INDUSTRY

SECTION A: DATE OF FIRST APPROVAL/APPOINTMENT IN THE FINANCIAL SERVICES INDUSTRY	
Date of first approval as a key individual	00/00/0000
Date of first approval as a key representative	01/01/2016

This person is not a Key Individual

DOFA Date

The Date of First Approval is the **date of appointment at the FSB (DOFA)**.

From this screen, one can see:

- **the role the Individual was appointed in** i.e. a Key Individual, Representative or both (*in the case of a Sole Proprietor*).

A date which displays as *00/00/0000* means the Individual is not registered with the FSB in that specific role

***this may change to N/A*



SECTION B: EXAM DETAILS

SECTION A: DATE OF FIRST APPROVAL/APPOINTMENT IN THE FINANCIAL SERVICES INDUSTRY

Date of first approval as a key individual	00/00/0000
Date of first approval as a key representative	01/01/2016

SECTION B: EXAM DETAILS

Exam Type	Exam Date	Exam Description
5	21/10/2011	First Level Regulatory Examination: FSPs and Representatives in all Categories of FSPs

Exam paper written & passed i.e. RES

Currently no validation that the exam was written in time

Should correspond with the Exam Type

- **Exam Type:** the regulatory exam(s) that have been written and passed
- **Exam Date:** the date on which the exam was passed

SECTION C: ROLES PER FSP (Current Products)

This details the **current FSPs** the Representative is linked to **and** the **categories** the Individual can sell, per FSP.

SECTION C : APPOINTMENT PER FINANCIAL SERVICES PROVIDER AND SUBCATEGORY OF FINANCIAL PRODUCT

Current Products								
FSP Name:			DISCOVERY LIFE LIMITED					
FSP Number			18147					
Fsp Status			Authorized					
Date Rep Appointed at FSP			01/01/2016					
Category	Sub-Category	Product Description	Advice	Advice First Date	Intermediary	Intermediary First Date	Under Supervision	Under Supervision Date
1	11	Long-Term Insurance : Category A	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016
1	12	Short-Term Insurance : Personal Lines	Yes	01/05/2016	Yes	01/05/2016	Yes	01/05/2016
1	13	Long-Term Insurance : Category B1	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016
1	14	Long-Term Insurance : Category C	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016
1	15	Retail Pension Benefits	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016
1	110	Securities and Instruments : Debentures and securitised debt	Yes	01/05/2016	Yes	01/05/2016	Yes	01/05/2016
1	114	Participatory Interests in Collective Investment Schemes	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016
1	116	Health Service Benefits	Yes	01/05/2016	Yes	01/05/2016	Yes	01/05/2016
1	120	Long-Term Insurance : Category B2	Yes	01/01/2016	Yes	01/01/2016	Yes	01/01/2016

All the FSPs that the Individual is currently linked to will be displayed here

In relation to the FSB

Each FSP is responsible for updating this information with the FSB

Categories that the Representative is registered for at the FSP

The dates need to be the same




- **Advice** - is a YES / NO indication if the FSP license allows the Representative to give advice (or not) for the category listed
- **Intermediary** - is a YES / NO indication if the individual can render an Intermediary Service at the FSP for the category listed
- **Under Supervision** - is a Yes / NO indication if the individual is currently under supervision at the FSP for the category listed

**The dates when the Individual was registered to give advice / render an intermediary service / under supervision are also included.

Check that these dates are the same.

SECTION D: HISTORIC PRODUCTS

This section details the **FSPs** the Representative was **previously linked to** and the **categories previously registered for**.



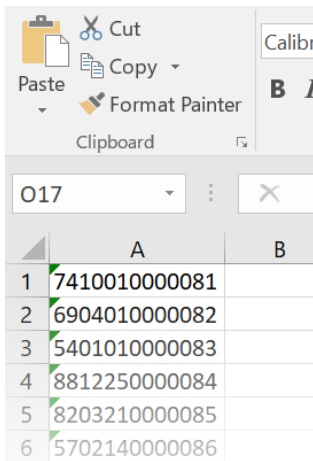
FSP Name:			NELESCO 843 (PTY) LTD					
FSP Number			35166					
Fsp Status			Authorized					
Category	Sub-Category	Product Description	Advice	Advice First Date	Intermediary	Intermediary First Date	Under Supervision	Under Supervision Date
1	11	Long-Term Insurance : Category A	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	12	Short-Term Insurance : Personal Lines	Yes	01/09/2011	Yes	01/09/2011	Yes	01/09/2011
1	13	Long-Term Insurance : Category B1	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	14	Long-Term Insurance : Category C	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	15	Retail Pension Benefits	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	16	Short-Term Insurance : Commercial Lines	Yes	01/09/2011	Yes	01/09/2011	Yes	01/09/2011
1	17	Pension Funds Benefits (excluding retail)	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	110	Securities and Instruments : Debentures and securitised debt	No	01/03/2011	No	01/03/2011	No	00/00/0000
1	114	Participatory interests in Collective Investment Schemes	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	118	Deposits defined in the Banks act - 12 months or less	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
1	120	Long-Term Insurance : Category B2	Yes	01/03/2011	Yes	01/03/2011	Yes	01/09/2011
Products that the Individual was registered for at a previous FSP			The functions performed at the previous FSP					

The historic data remains with the FSB

Back



2 How to Upload a Subscription List on Astute Online



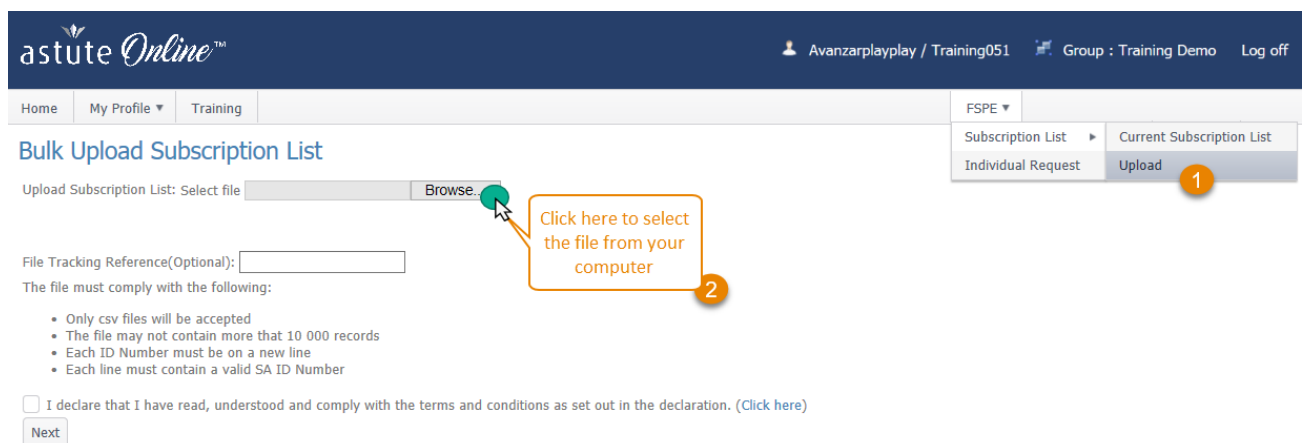
	A	B
1	7410010000081	
2	6904010000082	
3	5401010000083	
4	8812250000084	
5	8203210000085	
6	5702140000086	

File Preparation

- In an Excel spreadsheet, type in the Representatives ID numbers in the first column
- Only list valid 13-digit South African ID numbers
- Each ID number should be on a separate line. Do not skip lines
- The file should not exceed 10 000 records (ID numbers)
- Save the file in a .csv format on your computer

Upload the File

- Click on **FSPE > Subscription List > Upload**



astute Online™ Avanzarplayplay / Training051 Group : Training Demo Log off

Home My Profile Training

Bulk Upload Subscription List

Upload Subscription List: Select file **Browse...**

File Tracking Reference(Optional):

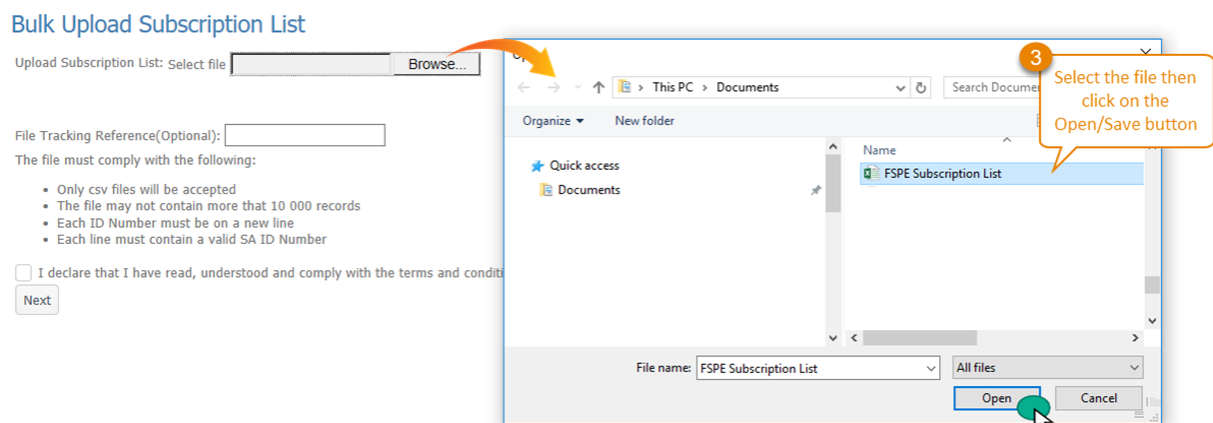
The file must comply with the following:

- Only csv files will be accepted
- The file may not contain more that 10 000 records
- Each ID Number must be on a new line
- Each line must contain a valid SA ID Number

☐ I declare that I have read, understood and comply with the terms and conditions as set out in the declaration. (Click here)

Next

- **Select the file** from your computer, then **click the Open/Save** button to attach the file on Astute Online.



Bulk Upload Subscription List

Upload Subscription List: Select file **Browse...**

File Tracking Reference(Optional):

The file must comply with the following:

- Only csv files will be accepted
- The file may not contain more that 10 000 records
- Each ID Number must be on a new line
- Each line must contain a valid SA ID Number

☐ I declare that I have read, understood and comply with the terms and conditions as set out in the declaration. (Click here)

Next



- The tracking reference is optional, but a good idea to complete. Use a memorable tracking reference to keep track of what has been submitted.
- **Tick** the declaration tick box, **then click** the **Next** button to view the subscription list online.

Bulk Upload Subscription List

Upload Subscription List: Change FSPE Subscription List.xlsx x

File Tracking Reference(Optional): Use a memorable tracking reference

The file must comply with the following:

- Only csv files will be accepted
- File may not contain more than 10 000 records
- Number must be on a new line
- Must contain a valid SA ID Number

☒ I declare I have read, understood and comply with the terms and conditions as set out in the declaration. ([Click here](#))



3 Request FSP Number

- Type in the **FSP Number** on the *FSPE Individual Request* homepage

- Click on the **Submit** button to view the *Results Schedule*.

CONTACT INFORMATION			
Physical Address	Telephone No	Contact Person	Contact Person Tel
2nd FLOOR, GROSVENOR CORNER 195 JAN SMUTS AVENUE ROSEBANK 2196	011 214 0900	OH KAY	0861 278883

COMPLIANCE OFFICER	
Name	Telephone No
JOE DOE	011 214 0973

KEY INDIVIDUALS		
Full Name	Surname	Conditions Apply
Hill	Crest	N/A
Ray	Mond	N/A

PRODUCTS APPROVED		
Category Description	Advice	Intermediary
CATEGORY I : Long-Term Insurance : Category B1	True	True
CATEGORY I : Participatory interests in Collective Investment Schemes	True	True
CATEGORY I : Long-Term Insurance : Category B2	True	True
CATEGORY I : Long-Term Insurance : Category A	True	True

