

UNDERSTANDING THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES FIT AND PROPER COMPETENCY REQUIREMENTS

09 June 2022

Outcomes:

This training will provide attendees with knowledge on how to effectively determine whether representatives meet the Fit and Proper requirements at onboarding as well as changing or adding of license categories as required by the Financial Advisory and Intermediary Services Act through practical exercises and sharing of experience.

Who should attend?

Individuals in roles involved in the onboarding of new representatives within the Financial Services industry.

About the trainer:

Verena Altendorfer



Verena Altendorfer is the Regulatory Training Senior Manager at Discovery Group Compliance. She is qualified in Occupationally Directed Education Training and Development with almost 15 years' experience in the financial services industry. Her experience in training spans across many of the regulatory obligations in the financial services sector and she has been involved in training of the Fit and Proper obligations since inception of these requirements. Verena is also a member of CI SA's Education, Training and Professionalism Committee.

Course Outline:

- Introduction to the Financial Advisory and Intermediary Services Act.
- The importance of effective review of competency requirements at onboarding stage.
- Outline of the competency requirements in terms of Board Notice 194 of 2017.
- Importance factors to take into consideration when applying the competency requirements.
- Understanding the exemptions and when these apply.
- Challenges that can be faced when determining competency at onboarding stage and how to overcome these.
- What happens when license categories are added.



Course details:

Date: 09 June 2022
Time: 09:00 – 13:00
Type of training: Hybrid Training

Course Fees:

Member rates: Member rate: R1 900.00 incl VAT (**Early-Bird – closes 19 May**)
Member rate: R2 280.00 incl VAT (Standard)

Non-Member rates: Non-Member rate: R2 466.00 incl VAT (**Early-Bird – closes 19 May**)
Non-Member rate: R2 959.00 incl VAT (Standard)

CPD Hours:

CISA Members will receive 4 CPD hours

To register:

[Click here to register](#)

