







South Africa

Financial Advisory and Intermediary Services Act, 2002

Exemption of compliance officers from the regulatory examination, 2012

Board Notice 207 of 2012

Legislation as at 13 December 2012

FRBR URI: /akn/za/act/bn/2012/207/eng@2012-12-13

There may have been updates since this file was created.

PDF created on 25 March 2024 at 07:07.

Check for updates



About this collection

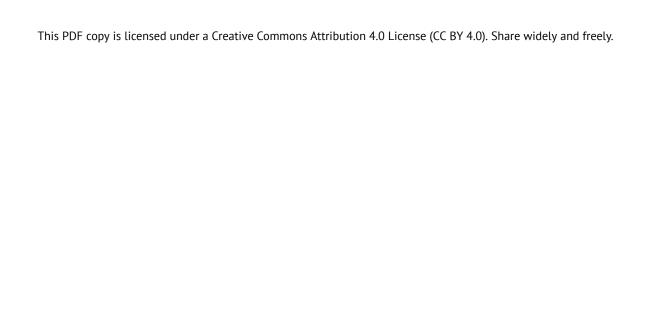
The legislation in this collection has been reproduced as it was originally printed in the Government Gazette, with improved formatting and with minor typographical errors corrected. All amendments have been applied directly to the text and annotated. A scan of the original gazette of each piece of legislation (including amendments) is available for reference.

This is a free download from LawLibrary and is presented in collaboration with the African Legal Information Institute, the Judicial Institute for Africa and the Laws. Africa Legislation Commons, a collection of African legislation that is digitised by Laws. Africa and made available for free.

www.lawlibrary.org.za | info@lawlibrary.org.za

www.laws.africa | info@laws.africa

There is no copyright on the legislative content of this document.



Exemption of compliance officers from the regulatory examination, 2012 Contents

1. Definitions	1	
2. Extent of exemption and condition	1	
3. Amendment and withdrawal of exemption and conditions	1	
4. Short title and commencement	1	

South Africa

Financial Advisory and Intermediary Services Act, 2002

Exemption of compliance officers from the regulatory examination, 2012

Board Notice 207 of 2012

Published in Government Gazette 35997 on 13 December 2012

Commenced on 13 December 2012

[This is the version of this document from 13 December 2012.]

I, German Emmanuel Anderson, Deputy Registrar of Financial Services Providers, hereby exempt under section 44(4) of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), compliance officers to the extent and subject to the conditions set out in the Schedule.

G E Anderson,

Deputy Registrar of Financial Services Providers

1. Definitions

In this Schedule.

"the Act" means the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), any word or expression to which a meaning is assigned in the Act shall have that meaning, and unless the context otherwise indicates—

"Criteria for approval as compliance officer" means the Qualifications, Experience and Criteria for Approval of Compliance Officers, 2010, published by Board Notice 27 of 2010 in *Government Gazette* No. 33537 on 9 September 2010;

"**compliance officer**" means a compliance officer approved by the Registrar and an applicant applying for approval as a compliance officer between 1 January 2012 and 31 December 2013.

2. Extent of exemption and condition

A compliance officer is exempted from paragraph 3(1)(b) provided he or she successfully completes the regulatory examination by 31 December 2013.

3. Amendment and withdrawal of exemption and conditions

The exemption and conditions mentioned in paragraph 2 are subject to—

- (a) amendment thereof published by the Registrar by notice in the Gazette; and
- (b) withdrawal in like manner.

4. Short title and commencement

This Exemption is called the Exemption of compliance officers from the Regulatory Examination, 2012, and comes into operation on the date of publication in the *Gazette*.