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*FAIS E\u0026M Codes: Level for F I  
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Preparation Workshops (This  
examination is called FAIS Level 1 RE  
1) Overview. This regulatory  
examination focuses on your role and  
responsibilities as a Key Individual.  
We will be covering all the relevant  
Board Notices, Acts and Codes as  
prescribed by the FSB. This  
examination consists of 80 questions.  
Who needs to attend

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RE 1: Key Individual Cat 1 - RE Exam Preparations

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Fais Regulatory Exams Questions And  
Answers | calendar ...

As the purpose of the level 1  
regulatory examination is to ensure  
that financial advisors and  
representatives understand their  
regulatory role and responsibilities, the

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emphasis was placed on the “comprehension” or understanding and application of the legislation.

Preparation guide Regulatory  
examinations Level 1 ...

FSB Level 1 exams – Get Prepared.  
NEW: Exam analysis. The regulatory exam analysis service is useful for anyone who has attempted either the representative or key individual regulatory exam and been unsuccessful. Very often, the same mistakes are made and similar disappointing results obtained, even after further study.

Exam Preparation for FSB Level 1  
exams - Deadline ...  
guide for regulatory examination level  
1 has been developed and is available  
on the FSB website under the FAIS

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tab. All the regulatory examinations are based on qualifying criteria. The qualifying criteria outline the knowledge and skills against which the regulatory examinations are set. The qualifying criteria were developed in a process of consultation between the FSB and industry representatives, from 2006 to 2008.

FINANCIAL SERVICES BOARD - FPI  
How to register for your level 1 exam  
By Paul Kruger on 23 March 2015 To register for the Key Individual Exam, RE 1, or the Representative Exam, RE 5, you will need your ID or passport number, date of birth, FSP number as well as personal, contact and professional details. Individual bookings can be made by one of the following methods:



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Reference: [www.fsb.co.za](http://www.fsb.co.za) Intelligo  
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Preparation RE1 and RE5; FETC: Long  
Term Insurance 49649 Level 4; FETC:  
Wealth Management 66613 ...

## FAIS ACT & FIT PROPER REQUIREMENTS

FSB: FAIS Examination exemptions.  
22 June 2012 FSB. The Financial  
Services Board has granted a  
temporary exemption from having to  
write the Level 1 regulatory  
examination by 30 June 2012, to the  
following categories of Financial

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Service Providers (FSPs): a) A representative who is employed or mandated by an authorised financial services provider to render financial services in respect of a policy as defined in paragraph 1 of the Notice only.

FSB: FAIS Examination exemptions  
Regulatory examinations Level 1:  
These regulatory examinations must be completed within 2 years of appointment or approval. People currently in the industry appointed or approved between 2004 and 2009 must complete these regulatory examinations successfully by 31 June 2012.

FAIS Exams | Workshops For RE 1  
and RE 5 Exams  
Regulatory examination Level 1 This

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Regulatory examination deals with the regulatory framework and is compulsory for all individuals in the financial services sector. The content of this examination focuses on the applicable legislation, for example the Financial Advisory and Intermediary Services Act (FAIS), Financial Intelligence Centre Act, FAIS General Code of Conduct, FAIS Regulations, and so forth.

## Regulatory Examinations: An Overview

New entrants to the industry from 1 January 2010 onwards are required to obtain a full qualification within six years of date of first appointment, while working under supervision, until such time as they have completed the qualification and passed the required regulatory exams. FAIS Credits are

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not an option for those appointed after  
1 January ...

FAIS Credits and Qualifications |  
Moonstone

4 FSB High-Level recommendations to  
address the regulatory, supervisory  
and oversight challenges raised by  
GSCs arrangements 1. Authorities  
should have and utilise the necessar y  
powers and tools, and adequate  
resources, to

Regulation, Supervision and Oversight  
of “Global ...

Regulated Entities Licensing and  
Registration Insurer / Micro Insurer  
FAIS CIS / Hedge Funds Retirement  
Fund Credit Ratings Capital Markets

FSCA

the need for cross-border cooperation

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and coordination; and (vi) makes high-level recommendations for regulatory, supervisory and oversight responses, including multilateral actions. The FSB is inviting comments on this consultative document and the questions set out below. Responses should be sent to [fsb@fsb.org](mailto:fsb@fsb.org) by 15 July 2020. Responses will

Addressing the regulatory, supervisory and oversight ...

FSB media release 8 April 2011 (RE in Afrikaans) FC32011 FAIS Circular - RE preparation - 17 March 2011; FC22011 FAIS Circular - FAQs on Res; C12011 FAIS Circular - Which Level 1 RE to Write - 18 January 2011; FC92010 FAIS Circular - Preparation for First Level RE - 5 November 2010; FC82010 FAIS Circular - First Level RE - 26 October 2010

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Exam resources - FPI

FAIS Level 1 RE 1 Are you ready for your Regulatory Examination? The FAIS Act and its supplementary rules require Key Individuals in all Categories responsible for managing and overseeing a business relating to the rendering of financial services for FSPs to pass the industry's Regulatory Examinations.

FAIS Level 1 RE 5 | TTRO Learning on demand

Regulatory Liaison Procurement ... In terms of section 44(4)(a) of the FAIS Act any person may apply to be exempted from any provision/s of the FAIS Act. Refer to New Applications for the relevant form to be completed together with supporting documents. Note that a fee is applicable as per the

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published fee schedule which may be amended from ...

## LR-FAIS-Exemptions

understand their regulatory role and responsibilities, the emphasis was placed on the “comprehension” or understanding and application of the legislation. The layout of the RE 1:  
FSPs and Key Individuals in all  
Categories of FSPs Level 1 questions  
27% 21 Questions Level 2 questions  
39% 32 Questions Level 3 questions  
22% 18 Questions

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