



FAIS NOTICE 12 OF 2017

FINANCIAL SERVICES BOARD

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 (ACT 37 OF 2002)

FORM AND MANNER OF REGISTRATION OF EXEMPTION OF PRIVATE EQUITY COMPLIANCE OFFICERS, 2017

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby under paragraph 2(b) of the Notice on the Exemption of Private Equity Compliance Officers, 2017 (published by FAIS Notice 5 of 2017 on the official web site of the Financial Services Board) prescribe that the registration for the exemption under the said Notice must be submitted in the manner and in the format set out in the schedule.



CD da Silva
Deputy Registrar Of Financial Services Providers

**SCHEDULE
APPLICATION FOR REGISTRATION OF EXEMPTION OF PRIVATE EQUITY
COMPLIANCE OFFICERS, 2017**

Name of Compliance Officer

Phase 1 approval number

1. General requirements

This registration form must be completed in full and must be submitted to the Registrar via electronic mail to the following address: **FAIS.Exemptions@fsb.co.za**.

2. Important Notice

- 2.1. Failure by a compliance officer to meet the requirements and conditions of the exemption set out in FAIS Notice 5 of 2017 (the Exemption) will result in the Exemption not being applicable to the compliance officer.
- 2.2. Registration of the Exemption by the Registrar's Office based on the information contained in this form is not a confirmation or validation that the Exemption applies to the compliance officer or that the compliance officer meets the requirements and conditions of the Exemption. It is the duty and responsibility of the compliance officer to ensure that it meets and continues to meet the requirements and conditions of the Exemption.

3. Registration of Exemption

3.1. Indicate whether the compliance officer seeks registration of the Exemption.

Yes No

3.2. Indicate whether the compliance officer meets the requirements to qualify as a private equity compliance officer as defined in the Exemption.

Yes No

3.3. Is the FSP to whom the compliance officer renders or intend to render compliance services a member of the South African Venture Capital and Private Equity Association?

Yes No

3.4. If the answer to section 2.3 is no, indicate the name of the private equity and venture capital industry body of which the FSP is a member.

4. Declaration

The declaration must be completed and signed by the Compliance Officer.

I,, (name of compliance officer) declare that I only render compliance services to-

- (a) A Category II FSP that renders discretionary financial services to a private equity fund only; or
 - (b) A Category II FSP that renders discretionary financial services to a private equity fund only and that is also authorised as a Category I, III, or IV FSP; and
- that the information provided in this form is correct.

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Signature

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Date