



User Guide for the FAIS Online Reporting System

CONTENTS:

A.	GENERAL	2
1.	INTRODUCTION	2
2.	REPORT SUBMISSION CONSTRAINTS	2
3.	REGISTRATION	3
4.	UPDATING OF CONTACT INFORMATION	4
B.	COMPLIANCE REPORTS	5
1.	INTRODUCTION	5
2.	REPORT SUBMISSION CONSTRAINTS	5
3.	LOGGING ONTO THE ONLINE SYSTEM	6
4.	ANSWERING THE QUESTIONS ON THE REPORT	7
5.	ATTACHING THE ANNEXURES	8
6.	COMPLETING THE STATISTICAL INFORMATION	11
7.	DOCUMENT FOR SIGNATURE AND DECLARATION PAGE	12
8.	VALIDATING THE REPORT	13
9.	OBTAINING A COPY OF THE SUBMITTED REPORT	14
10.	OTHER CONSIDERATIONS	16
C.	FINANCIAL STATEMENTS	17
1.	INTRODUCTION	17
2.	FINANCIAL STATEMENTS SUBMISSION CONSTRAINTS	17
3.	LOGGING ONTO THE ONLINE SYSTEM	17
2.	SUBMITTING YOUR FINANCIAL STATEMENTS	19
4.	ATTACHING YOUR FINANCIAL STATEMENTS	20
D.	APPLYING FOR AN EXTENSION TO SUBMIT FINANCIAL STATEMENTS	23
E.	CHANGING YOUR PASSWORD	25
F.	FREQUENTLY ASKED QUESTIONS	26

A. GENERAL

1. INTRODUCTION

Below is a list of all the things that you can do with the online programme,

The Compliance report online submission may only be submitted by registered users. The online mechanism provides an easier user interface than the previous package. It also eliminates many possible technical difficulties that can be experienced during the downloading, installation and submission processes of the pervious packaged software. Submit financial statements

- Submit compliance reports
- Apply for an extension for the submission of financial statements
- Update contact details
- Obtain copies of previous compliance reports that have already been submitted
- View what details the FSB has on record for a FSP

2. REPORT SUBMISSION CONSTRAINTS

- Note that the reports may only be submitted on or after the reporting date.
- Note that the reports must be submitted by the submission date.

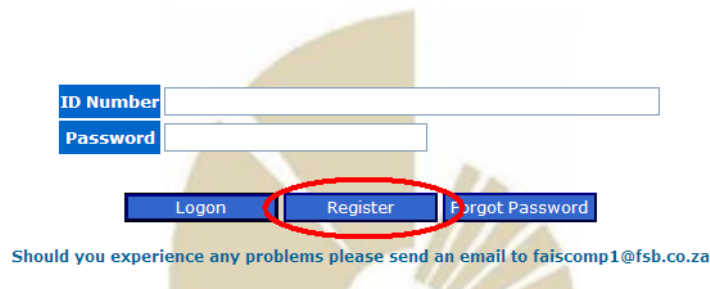
3. REGISTRATION

- Go to www.fsb.co.za.
- Click on FAIS on the top right hand corner, scroll down to Supervision Department, and click on Online submissions of compliance reports and financial statements
- Click on Online program, you will come to **screen A** below
- Click on Register and you will go to **screen B** where you will be asked to enter your ID number
- After doing that click on register and the password will be e-mailed to your e-mail address.

SCREEN A

Please Logon

Please note that the logon procedure has changed and you should now logon using your ID number (and not your email address)



SCREEN B

FAIS Online Registration

Please Complete Your ID Number!



4. UPDATING OF CONTACT INFORMATION

- Once you have logged on you will go to the screen below which requires you to update you contact information.
- Please make show all fields are completed before you click on Save/Confirm.
- NOTE: if all the fields are not completed the program will not save you details.

In order for you to proceed with using the online programme please ensure that ALL fields below have been completed in full prior to clicking on the Save / Confirm button below.

Please make all changes / confirm current details and click on the "Save / Confirm" button

FSP No	
FSP Name	
FSP Trade Name	
FSP Physical Address	

Contact Person Details		Accounting Person Details	
General Postal Address		Accounting Postal Address	
ID Number		Title	
Title		Initials	
Initials		Surname	
Surname		Cell Phone No	
Cell Phone No		Tel Phone No	
Tel Phone No		Fax Phone No	
Fax Phone No		Email Address	
Email Address		ID No	
		Date Of Birth (DD/MM/YYYY)	

Save / Confirm	Back to Selections	Logout
----------------	--------------------	--------

A. COMPLIANCE REPORTS

1. INTRODUCTION

- The Compliance report online submission may only be submitted by registered users.
- Where an FSP has an approved compliance officer on their profile only the approved compliance officer will be able to complete and submit the annual compliance report.
- Where the FSP does not have an approved compliance officer the approved key individual will be able to complete and submit their annual compliance report.

2. REPORT SUBMISSION CONSTRAINTS

- Note the compliance report may only be submitted on or after the reporting date.
- Note that the compliance report must be submitted by the submission date.
- Please note that only one compliance report should be submitted for each entity for a particular year. In case where an entity is authorised for more than one category, only one report needs to be submitted. The entity will need to submit the report that applies to the highest category that appears on the licence.

Example: An FSP that is licensed for Category I and II needs only to submit the Category II report.

- **No Extensions** will be granted for the submission of compliance reports.
- Penalties may be imposed for the non submission of compliance reports.

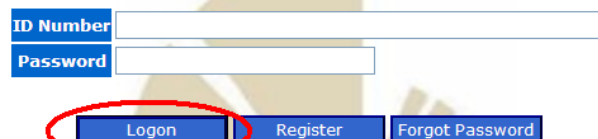
3. LOGGING ONTO THE ONLINE SYSTEM

- Go to www.fsb.co.za.
- Click on FAIS on the top right hand corner, scroll down to Supervision Department, and click on Online submissions of compliance reports and financial statements
- Click on Online program, you will come to screen A below enter your ID number and password
- Click Logon, after that you go to screen B
- Enter the year of the annual compliance Report and click “submit”.

SCREEN A

Please Logon

Please note that the logon procedure has changed and you should now logon using your ID number (and not your email address)



Should you experience any problems please send an email to faiscomp1@fsb.co.za

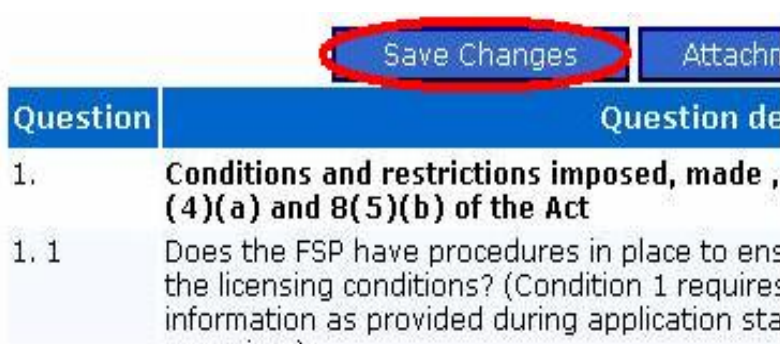
SCREEN B

- ☒ Compliance Reports
- ☐ Query FSP Detail
- ☐ Financial Statements
- ☐ Extension Request for Statutory Returns



4. ANSWERING THE QUESTIONS ON THE REPORT

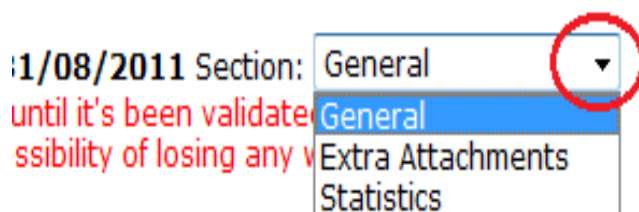
- After clicking on “submit” all the questions will appear and then you can proceed to answer all the questions.
- Please remember to save your work at **regular intervals** to ensure that no work is lost; it is advisable to click on save changes after you answer approximately every 5 or 6 questions.
- This “save changes” button appears on the top of the report and on the bottom.



Question	Question de
1.	Conditions and restrictions imposed, made , (4)(a) and 8(5)(b) of the Act
1. 1	Does the FSP have procedures in place to ens the licensing conditions? (Condition 1 requires information as provided during application sta

- After you answer all the questions on the page, please click the drop down key on the top of the report (see below) and see if there are any further sections that apply to you,

Example: If you do Medical Schemes it will appear under General, click on it and it will bring up the questions which you need to answer, if you don’t then it will not appear which means there are no further questions for you to answer.



1/08/2011 Section: General
 until it's been validate
 ssibility of losing any v

- General
- Extra Attachments
- Statistics

5. ATTACHING THE ANNEXURES

Once you have answered all the questions and indicated the annexure numbers in column 5, see example below, you can proceed to attach all your Annexures.

Yes	No	N/A	Dev	App/Amnt
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1

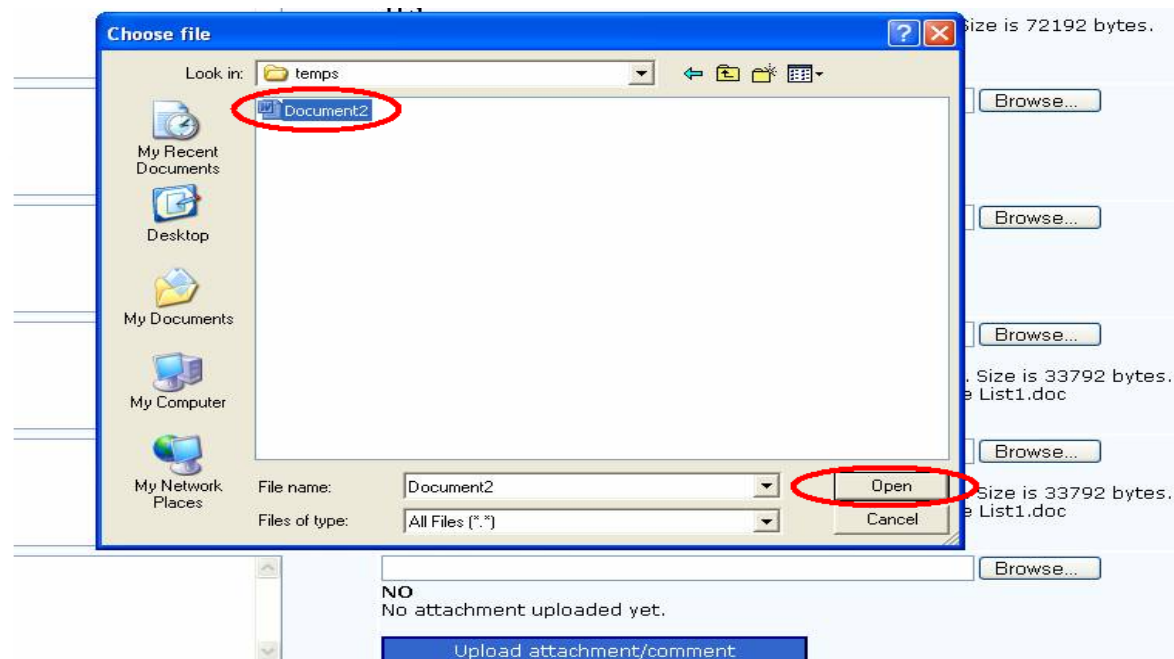
- All Annexures to your report must be saved on your computer.

- Name the files in such a way that you will be able to find them easily when searched for
- To upload the Annexures click on “Attachments” and the screen below will appear:



- Click on Browse and it will open up your computer (**screen A**)
- Search for the Annexures in the folder that you saved them in.
- Single click on the annexure and then click on open.
- The annexure will appear in the long white block on the left hand side of Browse (**screen B**)
- After that click on Upload attachment and once the attachment is uploaded it will say “YES”
Received attachment successfully (**screen C**)

SCREEN A



SCREEN B

C:\temps\Document2.doc Browse...

NO
No attachment uploaded yet.

Upload attachment/comment

SCREEN C

3.2	1		
-----	---	--	--

YES
Received the attachment successfully. Size is 27136 bytes.

Upload attachment/comment

6. COMPLETING THE STATISTICAL INFORMATION

Click on the drop arrow at the top of the compliance report (see below) and select the option “Statistics” after clicking on that you will go to “screen B”. Complete the all fields and click on “Save Changes”.

SCREEN A

31/05/2010 Section: General til it's been validated and
ibility of losing any work

General
Extra attachments
Statistics

ure

SCREEN B

Download Document for Signature

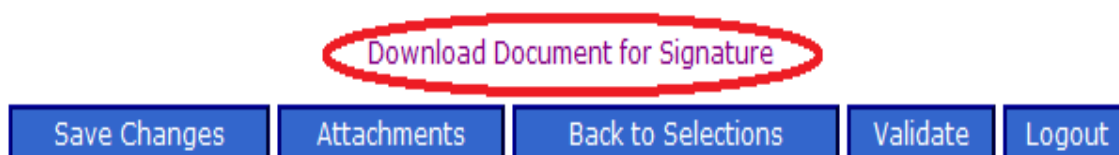
Save Changes
Attachments
Back to Selections
Validate
Logout

REPRESENTATIVES AT REPORTING DATE	NUMBER/AMOUNT		
Number of Representatives	0.00	0.00	0.00
Number of Representatives rendering service under supervision as contemplated in paragraph 3 of the Exemption of Services under Supervision in terms of Requirement and Conditions, 2008	0.00	0.00	0.00
Number of Key individuals that acted as supervisors in respect of Services under supervision	0.00	0.00	0.00
TYPE OF INSURANCE COVER	EXTEND OF COVER (Rand amount)		
Professional Indemnity of Cover as contemplated in section 5(e) and 13 of the General Code of Conduct	0.00	0.00	0.00
Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct	0.00	0.00	0.00
Guarantees as contemplated in section 13 of the General Code of Conduct	0.00	0.00	0.00
COMPLIANCE FUNCTION	NUMBER		
Number of visits to the FSP during the reporting period in order to perform monitoring procedures	0.00	0.00	0.00
Identity number of compliance officer appointed in terms of Section 43(b) if FICA	0.00	0.00	0.00
HEALTH SERVICES BENEFITS	PERCENTAGE		
Percentage of client base that are corporate clients	0.00	0.00	0.00
FURNISHING OF ADVICE AND RECORD OF ADVICE	PERCENTAGE		
Provide the percentage:(%) of new financial transactions done as a single needs analysis	0.00	0.00	0.00

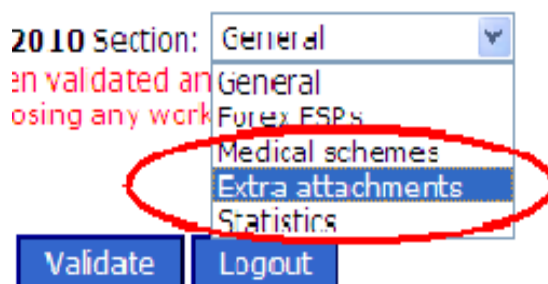
Save Changes
Attachments
Back to Selections
Validate
Logout

7. DOCUMENT FOR SIGNATURE AND DECLARATION PAGE

- Once the report has been completed you need to attach the signature page.
- Click on Download Document for Signature at top of the report (see screen below)
- The signature page will open up in a word document which needs to be printed and completed.
- Once it is completed it needs to be scanned and saved on your computer because it needs to be attached to the report.



- Once you have scanned the signature page and saved it on your computer click on the drop key at the top of the report and select the “Extra Attachments” (see below) option
- Indicate the number in column 5
- Once that is done click on “Save Changes” and then click on “Attachments” and follow the same procedure as attaching the Annexures.
- If a scanning facility is unavailable please fax the signature page to 012 422 2973.

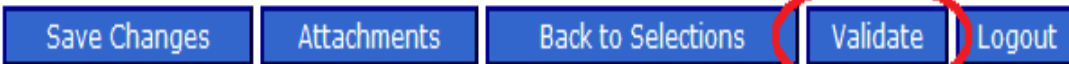


8. VALIDATING THE REPORT

- After all the Annexures have been attached click on Validate (see below).
- This key will appear on the top of the report and the bottom, after clicking on this it will notify you if there are any validation errors on the report and it will point out which questions had errors.
- If there are any errors you need to go back and correct them.
- If there are no validation errors a message will appear stating that “the report passes validation stage and is ready to commit”
- Press on the commit key and the report will be submitted to the FSB.

NOTE: You should resolve all validation errors on the report as the FSB will not accept the report if there are any errors.

Download Document for Signature



9. OBTAINING A COPY OF THE SUBMITTED REPORT

- Once the report has been submitted you can obtain a copy of the report for your records.
- You need to log into the online program and select “Query FSP Detail” see **screen A**
- After selecting that click on “Submit” you will then go to **screen B** which will display the Basic Detail of your FSP.
- **NB: If any details are incorrect on this screen please send an e-mail to faispfc@fsb.co.za with the correct details and request that it be changed.**
- Click on Compliance reports at the bottom see (**screen B**)
- You will then go to **screen C** which will display all the reports that have been submitted
- Next to the year you will have two options, click on any one to download a copy which you can print out or save on your computer.

SCREEN A



Screen A displays a list of options for querying FSP details. The options are:

- ☐ Compliance Reports
- ☒ Query FSP Detail
- ☐ Financial Statements
- ☐ Extension Request for Statutory Returns

Below the options is a text input field labeled "Year:".

At the bottom, there are three buttons: "Submit", "Change Password", and "Logout". The "Submit" button is highlighted with a red circle.

SCREEN B

FSP Nr: Name:

BASIC DETAIL			
Name:	ID Number:	Date of Birth:	
Trade Name:	Legal Capacity:	Registration Number:	Type of Company:
CONTACT DETAILS			
Physical Address 18 DECEMBER 2009 ADDRESS 1 18 DECEMBER 2009 ADDRESS 2 18 DECEMBER 2009 ADDRESS 3 9987	Postal Address 18 DECEMBER 2009 POSTAL 1 18 DECEMBER 2009 POSTAL 2 18 DECEMBER 2009 POSTAL 3 4093	Tel/Fax Numbers Phone: Fax: Website:	
BUSINESS DETAIL			
Financial Year End Bank Branch Code Account Nr	Contact Person: Title Initials & Surname Cell or TelNr eMail	Person responsible to pay levies: Title Initials & Surname Cell or TelNr eMail	
FURTHER DETAIL			
SEPERATE BANK ACCOUNT :			

Auditors	Statutory Returns	Compliance Reports	Exemptions	Persons	Nominees	Applications	Products
	Compliance	Clearing	Profile Changes	Back to Selections	Logout		

SCREEN C

Report type	Date of Report	Case number	Request Report	Request Receipt
Annual (2005, 2006, 2007)	31/12/2005		Download Report	Download Receipt
Annual (2005, 2006, 2007)	31/12/2006		Download Report	Download Receipt
Annual (2005, 2006, 2007)	31/12/2007		Download Report	Download Receipt
Cat I with CO (2008-2009)	31/05/2008		Download Report	Download Receipt
Cat I with CO (2008-2009)	31/05/2009		Download Report	Download Receipt
Cat I with CO (2010)	31/05/2010		Download Report	Download Receipt

10. OTHER CONSIDERATIONS

- If you need to submit compliance reports for different years you may do so using this program, all you need to do is to logon and enter the year you wish to submit.
- Confirmation will be sent as soon as the report is imported on the FSB's system, this can take up to 24 hours. Please keep proof of submission.
- You may capture the report over a period of time and save all changes as you capture it, once the report is allowed to submit (after reporting date) you can finally submit the report, this may assist you if there is outstanding information that you need to gather before final submission.
- Note that the program becomes very, very slow during the last week before the submission date. It is advisable to complete your compliance report just after the reporting date but before the submission date to avoid the slowness of the program.

B. FINANCIAL STATEMENTS

1. INTRODUCTION

- The Financial Statements online submission may only be submitted by registered users i.e. approved compliance officers and / or approved key individuals for a specific FSP.
- E.g. your auditor or secretary will not be able to log onto the system and submit your financial statements on your behalf.
- This has been done for confidentiality reasons as there is sensitive information about your FSP that is contained on the online programme.

2. FINANCIAL STATEMENTS SUBMISSION CONSTRAINTS

- Note the Financial Statements may only be submitted after the Financial Year end date.
- Note that the financial statements must be submitted by the submission date which is FOUR MONTHS after your financial year end date.
- Penalties may be imposed for the non submission of Financial Statements.

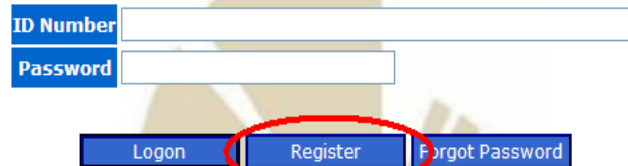
3. LOGGING ONTO THE ONLINE SYSTEM

- Go to www.fsb.co.za.
- Click on FAIS on the top right hand corner, scroll down to Supervision Department
- Click on Online submissions of compliance reports and financial statements
- Click on Online program, you will come to screen A below enter your ID number and password and the click Logon
- After that you go to Screen B
- Select the option Financial Statements, enter the year (e.g., 2009, 2010 etc) and click on submit.

SCREEN A

Please Logon

Please note that the logon procedure has changed and you should now logon using your ID number (and not your email address)



The form contains two input fields: 'ID Number' and 'Password'. Below these fields are three buttons: 'Logon', 'Register', and 'Forgot Password'. The 'Register' button is circled in red.

Should you experience any problems please send an email to faiscomp1@fsb.co.za

SCREEN B

FAIS Online Registration

Please Complete Your ID Number!



The form contains one input field labeled 'ID Number'. Below this field are two buttons: 'Register' and 'Back'. The 'Register' button is circled in red.

2. SUBMITTING YOUR FINANCIAL STATEMENTS

After clicking submit the tables will appear (screen A) and then you can proceed to fill in all the amounts as they appear on your financial statements.

SCREEN A

FSP Nr: 3 Name: **Test 3 With CO** Year: **2010**

[Attachments](#)
[Save Changes](#)
[Submit the Returns](#)
[Back to Selections](#)
[Logout](#)

INCOME STATEMENT		BALANCE SHEET	
Revenue		Non-current Assets	
Commission	0	Goodwill	0
Fees	0	Other Intangibles	0
Trading/Interest/Investment/Income	0	Property and Equipment	0
Fair Value Adjustments/Unrealised Gains/(Losses)	0	Other Non-current Assets	0
Other Income	0	Total Non-current Assets	0
Total Revenue	0	Current Assets	
Cost of Sales	0	Trade & Other Receivables	0
Gross Profit/(Loss)	0	Trading Assets	0
Operating Expenditure		Investments	0
Operating Expenses	0	Other Current Assets	0
Amortisation & Write offs	0	Cash & Cash Equivalents	0
Other Expenses	0	Total Current Assets	0
Total Operating Expenditure	0	TOTAL ASSETS	0
Operating Profit/(Loss) before Interest & Tax	0	Equity	
Interest & Finance Charges		Share Capital & Premium	000
Interest Expenses/Finance Charges	0	Reserves	000
Preference Dividends	0	Retained Earnings/(Acc Losses)	0
Total Interest Expense & Fin Charges	0	Total Equity	000
Share or Profits (Loss) from Equity Investments		Non-Current Liabilities	
Profit/(Loss) from Associates	0	Long Term Subordinated Loans	0
Profit/(Loss) from Equity Investments	0	Preference Shares	0
Profit (Loss) Before Taxation	0	Long Term Loans & Leases	0
Taxation	0	Other Non-current Liabilities	0
Profit/(Loss) after Taxation	0	Total Non-Current Liabilities	0
ATTACHMENTS		Current Liabilities	
1.		Trade & Other Payables	0
2.		Trading Liabilities	0
3.		Other Current Liabilities	0
4.		Current Portion of Subordinated Loans	0
5.		Current Portion Long Term Loans & Leases	0
6.		Bank Overdraft	0
7.		Total Current Liabilities	0
8.		TOTAL LIABILITIES	0
		TOTAL EQUITY & LIABILITIES	000
		Client Funds	0

[Attachments](#)
[Save Changes](#)
[Submit the Returns](#)
[Back to Selections](#)
[Logout](#)

- After you fill in all the amounts you need to click on save changes.

- After saving your work you need to attach a copy of your financial statements as all electronic submissions must have a hard copy of the financials attached for verification purposes.
- If you do not attach the financial statements the system will not allow you to submit the return therefore the attachment is mandatory.

Note:

- Please make sure that the Financial Statements are signed before you scan them in and save them on your computer. If the financial statements are not signed they will be regarded as a draft copy and will be not accepted and will be regarded as outstanding.
- Please ensure that all relevant reports are also included in the scanned copy of the financials e.g. the report of your independent auditor or accounting officer (where applicable)

4. ATTACHING YOUR FINANCIAL STATEMENTS

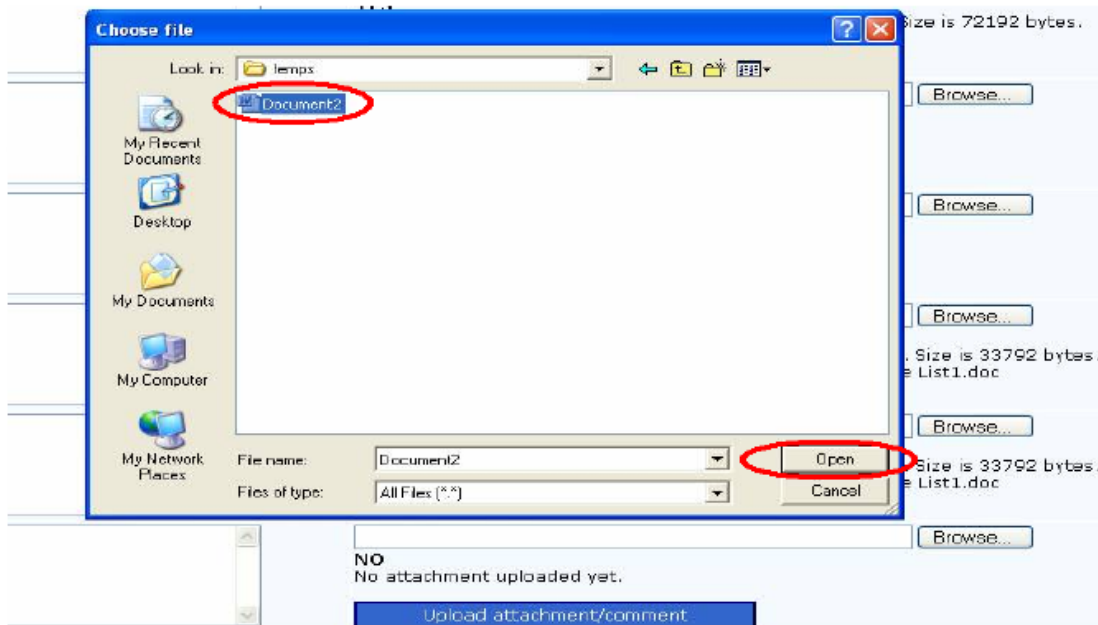
- Your Financial Statements must be scanned and saved on your computer.
- Name the file in such a way that you will be able to find it easily when searched for
- To upload the financial statements click on “Attachments” and the screen below will appear:



- Click on Browse and it will open up your computer (screen A),
- Search for the financial statements in the folder that you saved them in.
- Single click on the annexure and then click on open.
- The annexure will appear in the long white block on the left hand side of Browse (screen B)

- After that click on Upload attachment and once the attachment is uploaded it will say “YES”
Received attachment successfully (screen C)

SCREEN A



SCREEN B



SCREEN C



- After attaching your financial statements you are now ready to submit them to the FSB
- All you need to do is click on is the key that says “submit returns” (see below) and the statements will be submitted to the FSB.

Profit/(Loss) after Taxation	0	Total Non-Current Liabilities	0
ATTACHMENTS		Current Liabilities	
1.		Trade & Other Payables	0
2.		Trading Liabilities	0
3.		Other Current Liabilities	0
4.		Current Portion of Subordinated Loans	0
5.		Current Portion Long Term Loans & Leases	0
6.		Bank Overdraft	0
7.		Total Current Liabilities	0
8.		TOTAL LIABILITIES	0
		TOTAL EQUITY & LIABILITIES	000
		Client Funds	0

[Attachments](#)
[Save Changes](#)
[Submit the Returns](#)
[Back to Selections](#)
[Logout](#)

- **NOTE:** If you do not click on “ Submit the Returns” the statements will not be received by the Office.

C. APPLYING FOR AN EXTENSION TO SUBMIT FINANCIAL STATEMENTS

- Logon to the online program and select the option that says “Extension Request for Statutory Returns” (see below)
- Fill in the year (e.g. 2011, 2012) that you are applying for and click on submit.

Name: **TEST TEST**

FSP: **3 - Test 3 With CO**

☐ Compliance Reports

☐ Query FSP Detail

☐ Financial Statements

☒ Extension Request for Statutory Returns

☐ Update Contact Details

☐ Profile Changes

Year: **2010**

Submit **Change Password** **Logout**

- After clicking on submit you will come to the screen below
- Complete the first block by filling in a date as to when you want to submit the financial statements
- Enter the reason as to why you are requesting an extension and lastly fill in your name.
- After you have filled in all required information click on “Submit” and the request will be submitted to the FSB.
- Once your request is received it will be submitted to the Head of Department for approval.
- A letter will be sent to your informing you if the extension has been granted or declined.
- **NOTE:** Extension requests should be submitted at least 14 days prior to the submission date of the financial statements

FSP Nr: 3 Name: Test 3 With CO

Apply for Extension until:	<input type="text"/>
Reason:	<input type="text"/>
Name of Applicant:	<input type="text"/>

[Submit](#) [Back to Selections](#) [Logout](#)

-
- **NOTE:** If you have any outstanding compliance reports or financial statements the system will not allow you to apply for an extension.

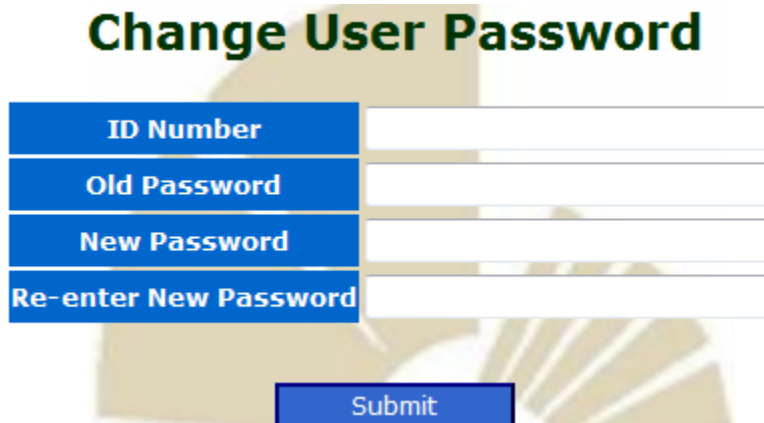
D. CHANGING YOUR PASSWORD

- You can change your password to something else so it can be easily remembered.
- To do that you need to logon with the password that was provided by the FSB, once you have logged on click on “Change Password” (**screen A**)
- After that you will go to **screen B**, enter the password that was provided and then enter new password
- Re-enter new password and click submit.

SCREEN A



Screen B

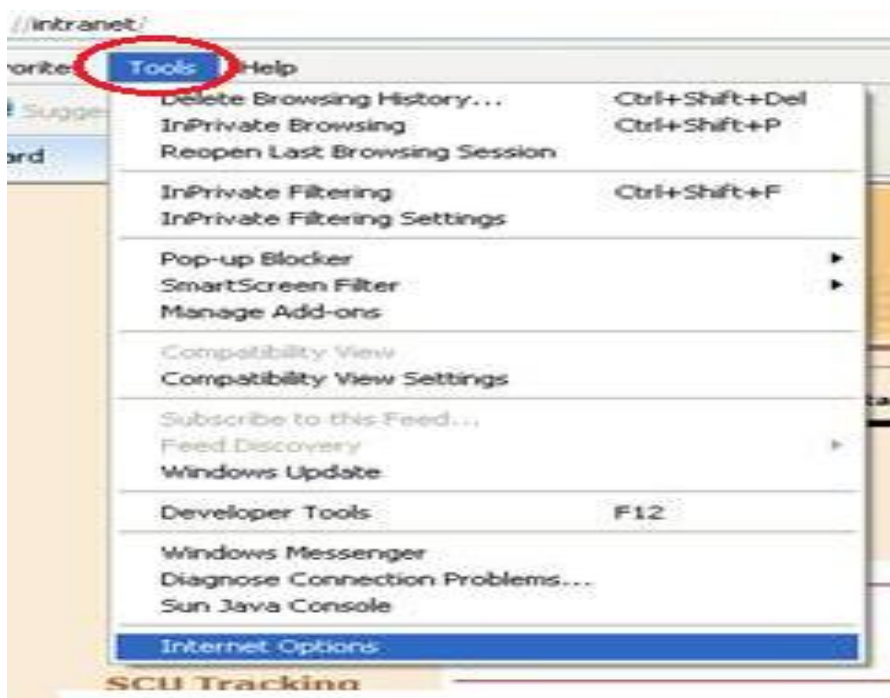


E. FREQUENTLY ASKED QUESTIONS

1. Saved answers getting lost after attaching Annexures?

To resolve this you need to check your security settings on your computer and to do this follow the steps below to check your settings.

Click on tools on the left hand corner of your screen and select internet options then click on Security and set the bar to Medium – High or Medium





2. Completing Statistical information.

Follow the instructions on page 9 and it will show you how to do this.

3. Attaching the signature page.

Follow the instructions on page 10 and it will show you how to do this.

4. Obtaining copies of submitted reports.

Follow the instructions on page 11 and it will show you how to do this.