User Guide for the FAIS Online Reporting System

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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 previous 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 CONTRAINTS

- 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)

ID Number
Password
Login Register Forgot Password

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

SCREEN B

FAIS Online Registration

Please Complete Your ID Number!

ID Number

Register Back
4. UPDATING OF CONTACT INFORMATION

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

SCREEN B

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

Year: 2010
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.

- 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.
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.

- 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
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]

SCREEN B

Download Document for Signature

Save Changes  Attachments  Back to Selections  Validate  Logout

<table>
<thead>
<tr>
<th>REPRESENTATIVES AT REPORTING DATE</th>
<th>NUMBER/AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Representatives</td>
<td>0.00</td>
</tr>
<tr>
<td>Number of Representatives rendering service under supervision as contemplated in paragraph 3 of the Exemption of Services under Supervision in terms of Requirements and Conditions, 2008</td>
<td>0.00</td>
</tr>
<tr>
<td>Number of Key individuals that acted as supervisors in respect of Services under supervision</td>
<td>0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TYPE OF INSURANCE COVER</th>
<th>EXTEND OF COVER (Rand amount)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Indemnity of Cover as contemplated in section 5(a) and 13 of the General Code of Conduct</td>
<td>0.00</td>
</tr>
<tr>
<td>Fidelity Insurance Cover as contemplated in sections 5(e) and 13 of the General Code of Conduct</td>
<td>0.00</td>
</tr>
<tr>
<td>Guarantees as contemplated in section 13 of the General Code of Conduct</td>
<td>0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>COMPLIANCE FUNCTION</th>
<th>NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of visits to the FSP during the reporting period in order to perform monitoring procedures</td>
<td>0.00</td>
</tr>
<tr>
<td>Identity number of compliance officer appointed in terms of Section 43(b) if FICA</td>
<td>0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HEALTH SERVICES BENEFITS</th>
<th>PERCENTAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of client base that are corporate clients</td>
<td>0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FURNISHING OF ADVICE AND RECORD OF ADVICE</th>
<th>PERCENTAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the percentage (%) of new financial transactions done as a single needs analysis</td>
<td>0.00</td>
</tr>
</tbody>
</table>
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 scanned and saved on your computer because it needs to be attached to the report.

![Download Document for Signature](image)

- 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.

![Extra Attachments](image)
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 massage 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.
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 faispcf@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 B

BASIC DETAIL

Name:  ID Number:  Date of Birth:
Trade Name:  Legal Capacity:  Registration Number:  Type of Company:

CONTACT DETAILS

Physical Address  Postal Address  Tel/Fax Numbers
18 DECEMBER 2000 ADDRESS 1  18 DECEMBER 2000 POSTAL 1  Phone:
18 DECEMBER 2000 ADDRESS 2  18 DECEMBER 2000 POSTAL 2  Fax:
18 DECEMBER 2000 ADDRESS 3  10 DECEMBER 2009 POSTAL 3  Website:
9997            4003

BUSINESS DETAIL

Financial Year End
Bank
Branch Code
Account No.

Contact Person
Title
Initials & Surname
Cell or Tel/In
email

Person Responsible to pay
insects
Title
Initials & Surname
Cell or Tel/In
email

FURTHER DETAIL

SEPARATE BANK ACCOUNT:

SCREEN C

<table>
<thead>
<tr>
<th>Report Type</th>
<th>Date of Report</th>
<th>Case number</th>
<th>Request Report</th>
<th>Request Receipt</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cat I with CO (2008-2009)</td>
<td>31/05/2008</td>
<td></td>
<td>Download Report</td>
<td>Download Receipt</td>
</tr>
<tr>
<td>Cat I with CO (2008-2009)</td>
<td>31/05/2009</td>
<td></td>
<td>Download Report</td>
<td>Download Receipt</td>
</tr>
</tbody>
</table>
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 is 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 CONTRAINTS

- 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)

ID Number
Password

Login  Register  Forget Password

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

SCREEN B

FAIS Online Registration

Please Complete Your ID Number!

ID Number

Register  Back
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

- 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:

  ![Attachment Screen](image)

  • 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)
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.

**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.
• 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

![Extension Request Form](image)

- **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

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

Screen B

Change User Password

<table>
<thead>
<tr>
<th>ID Number</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Old Password</td>
<td></td>
</tr>
<tr>
<td>New Password</td>
<td></td>
</tr>
<tr>
<td>Re-enter New Password</td>
<td></td>
</tr>
</tbody>
</table>

Submit
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.