



APPLICATION FOR EXEMPTION AS PROVIDED FOR IN BOARD NOTICE 193 of 2011

FSP Name

FSP No

Are you required to appoint an accounting officer? Yes No

NOTE:

1. **Category I sole proprietors** who do not receive client funds and / or premiums are not required to appoint an accounting officer (Complete section A, C);
2. **Category I FSPs** who are a **close corporation** who do not receive client funds and / or premiums are required to appoint an accounting officer (Complete Section A, B, C);
3. **Category I FSPs** who are a **company** and who, in terms of the provisions of the Companies Act 2008, are not required to prepare audited financials and who do not receive client funds and / or premiums should complete Section A, B, C;
4. **Category I FSP's limited by product** who receive client funds and / or premiums are required to appoint an accounting officer (Complete Section A, B, C)

SECTION A:

I (name of key individual / sole proprietor) hereby apply for exemption from Section 19(2)(a) and (3) to (6) of the Act as provided for in Board Notice 193 of 2011

SECTION B:

Details of Accounting Officer responsible for the preparation of the annual financial statements:

Name of Firm
(If applicable)

Accounting officer name

Professional Body e.g. SAICA

Practice number or
Registration Number

Physical address

Postal code

Postal address

Postal code

Telephone number

Fax number

Date of appointment as accounting officer:

SECTION C:

Declaration to be signed by the approved key individual(s) or sole proprietor:

I _____ (name of the approved key individual or sole proprietor) confirm that _____ (Name of FSP) (FSP number): _____

1. Does not receive client funds and / or premiums;
2. Is not obliged by law to have financial statements audited and reported on
3. Is not obliged by law to have their financial statements independently reviewed by an independent reviewer or otherwise prepared.

Signature of key individual / sole proprietor

Date

The Completed form must be e-mailed to Faisfins4@fsb.co.za