

**BOARD NOTICE 136 OF 2012****FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****AMENDMENT OF THE NOTICE ON QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER**

I German Emmanuel Anderson, the Deputy Registrar of Financial Services Providers, hereby, under section under section 17(1)(b) and (2)(a) of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), after consultation with the Advisory Committee on Financial Services Providers, amend the Notice on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, 2010 (the Notice), as set out in the Schedule to this Notice.

This Notice is called the Amendment on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, No. 1 of 2012.



**GE Anderson,**  
Deputy Registrar of Financial Services Providers

**SCHEDULE****AMENDMENT OF THE NOTICE ON QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER****Definition**

1. In this Schedule "the Notice" means the Notice on Qualifications, Experience and Criteria for the Approval as a Compliance Officer, 2010, as published by Board Notice 127 of 2010 in *Government Gazette* No. 33537 of 9 September 2010.

**Amendment of the Notice**

2. The Schedule to the Notice is hereby amended by the insertion after Annexure 1 to the Schedule of the Notice of the following Annexure:

**Annexure 2: Qualifications recognised for Compliance Officers**

Qualification No	Qualification title	Institution No	Institution	SAQA ID	Level	Credits	CO
9	POSTGRADUATE DIPLOMA: FINANCIAL PLANNING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	66096	7	120 G	
22	NATIONAL CERTIFICATE: WEALTH MANAGEMENT	69	INSETA	57608	5	120 G	
51	BACHELOR OF COMMERCE: ACCOUNTING	15	UNIVERSITY OF WESTERN CAPE	7259	6	360 G	
93	PROGRAMME IN RISK MANAGEMENT	1	UNISA	75949	6	108 G	
125	BACHELOR OF COMMERCE: LAW	10	UNIVERSITY OF STELLENBOSCH	15594	6	369 G	
131	BACHELOR OF COMMERCE	1	UNISA	5563	6	384 G	
131	BACHELOR OF COMMERCE	7	UNIVERSITY OF THE WITWATERSRAND	9843	6	360 G	
153	BACHELOR OF COMMERCE: ECONOMICS	21	UNIVERSITY OF VENDA	9209	7	476 G	
166	BACHELOR OF COMMERCE: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	73772	6	432 G	
253	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	86	VAAI UNIVERSITY OF TECHNOLOGY	72723	6	360 G	
274	BACHELOR OF COMMERCE: MANAGEMENT SCIENCES	10	UNIVERSITY OF STELLENBOSCH	19587	6	370 G	
307	BACHELOR OF COMMERCE: FINANCIAL PLANNING	14	UNIVERSITY OF PORT ELIZABETH	66093	6	366 G	
503	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT	21	UNIVERSITY OF VENDA	22854	6	424 G	
543	ILPA	163	ILPA	FSB0119	0	0 G	
564	HIGHER DIPLOMA IN EDUCATION - COMMERCE	10	UNIVERSITY OF STELLENBOSCH	FSB 082	6	480 G	
573	CERTIFIED INTERNAL AUDITOR (CIA)	89	INSTITUTE OF INTERNAL AUDITORS	FSB 083	0	0 G	
589	MASTER OF SCIENCE IN INVESTMENT MANAGEMENT	87	CITY BUSINESS SCHOOL LONDON	FSB0109	0	0 G	
593	BACHELOR OF COMMERCE HONOURS INSURANCE AND RISK MANAGEMENT	29	MIDLANDS STATE UNIVERSITY	FSB0132	0	0 G	
594	NATIONAL DIPLOMA: RETAIL BUSINESS MANAGEMENT	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78666	6	360 G	
601	BACHELOR OF COMMERCE HONOURS	1	UNISA	5687	8	120 G	
604	ASSOCIATE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	128	THE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	FSB071	0	0 G	
614	CERTIFICATE IN SECURITIES AND INVESTMENTS	85	CHARTERED INSTITUTE SECURITIES FOR INVESTMENT	FSB072	0	0 G	
615	DIPLOMA: FINANCIAL MANAGEMENT	138	THE CHARTERED ASSOCIATION OF CERTIFIED ACCOUNTANTS	FSB073	0	0 G	
619	BACHELOR OF COMMERCE: TOURISM MANAGEMENT	5	UNIVERSITY OF PRETORIA	7113	6	426 G	
620	ADVANCED DIPLOMA IN BUSINESS MANAGEMENT	165	SOUTH AFRICAN INSTITUTE OF MANAGEMENT	67689	6	400 G	
624	NATIONAL DIPLOMA: ACCOUNTING	37	DURBAN UNIVERSITY TECHNOLOGY	72209	6	360 G	
767	BACHELOR OF COMMERCE (HONS) IN FINANCE	30	NATIONAL UNIVERSITY OF SCIENCE AND TECHNOLOGY	FSB0091	0	0 G	
770	MASTERS OF BUSINESS ADMINISTRATION ( Heriot-Watt University)	154	HERIOT-WATT UNIVERSITY	FSB0093	0	0 G	
785	BACHELOR OF SCIENCE: OPERATIONS RESEARCH AND INFORMATION SYSTEMS	1	UNISA	6059	7	360 G	
802	MASTER OF SCIENCE: FINANCIAL MANAGEMENT	173	UNIVERSITY OF LONDON	FSB0126	0	0 G	

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Qualification No	Qualification title	Institution No	Institution	SAQA ID	Level	Credits	CO
803	BACHELOR OF COMMERCE: ACCOUNTING	12	UNIVERSITY OF KWAZULU-NATAL	79009	6	415	G
817	BACHELOR OF BUSINESS MANAGEMENT	28	UNIVERSITY OF HAMPSHIRE	FSB0187	0	0	G

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