



Government Gazette Staatskoerant

REPUBLIC OF SOUTH AFRICA
REPUBLIEK VAN SUID-AFRIKA

Vol. 584

Pretoria, 21 February 2014
Februarie 2014

No. 37360

N.B. The Government Printing Works will not be held responsible for the quality of "Hard Copies" or "Electronic Files" submitted for publication purposes



AIDS HELPLINE: 0800-0123-22 Prevention is the cure

IMPORTANT NOTICE

The Government Printing Works will not be held responsible for faxed documents not received due to errors on the fax machine or faxes received which are unclear or incomplete. Please be advised that an "OK" slip, received from a fax machine, will not be accepted as proof that documents were received by the GPW for printing. If documents are faxed to the GPW it will be the sender's responsibility to phone and confirm that the documents were received in good order.

Furthermore the Government Printing Works will also not be held responsible for cancellations and amendments which have not been done on original documents received from clients.

CONTENTS • INHOUD

<i>No.</i>		<i>Page No.</i>	<i>Gazette No.</i>
BOARD NOTICES			
18	Financial Advisory and Intermediary Services Act, 2002: Exemption of particular persons from qualification requirements No. 2 of 2014	3	37360
19	do.: Withdrawal of authorisation	5	37360
20	do.: Lifting of suspension	7	37360
21	do.: Reinstatement of withdrawn licences	8	37360
22	do.: Suspension of authorisation	9	37360

BOARD NOTICES

BOARD NOTICE 18 OF 2014

FINANCIAL SERVICES BOARD

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002

EXEMPTION OF PARTICULAR PERSONS FROM QUALIFICATION REQUIREMENTS, NO. 2 OF 2014

I, Caroline Dey da Silva, Deputy Registrar of Financial Services Providers, hereby exempt under section 44(4) of the Financial Advisory and Intermediary Services Act, 2002, particular persons from provisions of the Act and certain measures promulgated thereunder, to the extent set out in the Schedule.



CD DA SILVA

Deputy Registrar of Financial Services Providers

SCHEDULE

EXEMPTION OF PARTICULAR PERSONS FROM QUALIFICATION REQUIREMENTS, NO. 2 OF 2014

Definitions

1. In this Schedule, "the Act" means the Financial Advisory and Intermediary Services Act, 2002, any word or expression to which a meaning is assigned in the Act shall have that meaning, and unless the context otherwise indicates-

"**Category I**" has the meaning assigned to it in the Determination of Fit and Proper Requirements;

"**competency requirements**", means the requirements relating to experience, continuous professional development, regulatory examinations (first and second level) and any other requirements, excluding qualification requirements, relating to a person's competency to render financial services as determined by the Registrar;

"**Determination of Fit and Proper Requirements**" means the Determination of Fit and Proper Requirements for Financial Services Providers, 2008; and

"**qualification requirements**" means the applicable-

- (a) requirement referred to in Column Two of Table E of the Determination of Fit and Proper Requirements; or
- (b) requirement to have a recognised qualification that appears on the list of recognised qualifications.

Extent and condition of Exemption

2. The persons referred to in Table A are exempted from the qualification requirements when rendering financial services for or on behalf of or managing or overseeing the activities of a business of a Category I financial services provider provided they comply with the competency requirements.

TABLE A	
Rodney Anthony Morgan	Gregor Peter Josef Schmitz

Amendment and withdrawal of Exemption

3. This Exemption is subject to-
- (a) amendment thereof published by the registrar by notice in the *Gazette*; and
 - (b) withdrawal in like manner.

Short title and commencement

4. This Exemption is called the Exemption of Particular Persons from the Qualification Requirements, No. 2 of 2014, and comes into operation on the date of publication in the *Gazette*.

BOARD NOTICE 19 OF 2014**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****WITHDRAWAL OF AUTHORISATION**

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby make known under section 9(2)(d) of the Financial Advisory and Intermediary Services Act, 2002 ("FAIS Act"), that the licences of the following licensees have been withdrawn with effect from the respective dates referred to hereunder:

LICENSEE	FSP NO	EFFECTIVE DATE	REASONS FOR WITHDRAWAL
Donald Ian Hain t/a Banks Hain And Company	16657	5 December 2013	Contravention of section 19(2)(b)(iii) of the FAIS Act
Guillame Nothnagel t/a GN Makelaars	16466	5 December 2013	Contravention of section 10 of the Determination of Fit and Proper Requirements for Financial Services Providers, 2003 ("Fit and Proper Requirements")
Johan Beck Versekerings En Beleggings Makelaars BK	8943	22 November 2013	Contravention of section 19(2)(b)(iii) of the FAIS Act
Kapungu Consulting (Pty) Ltd	42873	5 December 2013	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act
Nerak Financial Services (Pty) Ltd	3046	20 December 2013	Contravention of sections 2, 3(1)(a)(i)-(iii), 11 and 12 of the General Code of Conduct for Authorized Financial Services Providers and Representatives, 2003 ("Code of Conduct"), and section 8(1) of the FAIS Act
Shiloh Insurance BK t/a Autumn Risk	33073	5 December 2013	Contravention of sections 8, 17(4) and 19(2)(b)(iii) of the FAIS Act
Terence Richard Vermeulen t/a T Vermeulen Makelaars	11714	26 November 2013	Contravention of sections 17(4) and 19(2)(b)(iii) of the FAIS Act, and section 15A of the Financial Services Board Act, 1990 ("FSB Act")
Trustkor Financial Services (Pty) Ltd	36761	22 November 2013	Contravention of section 8 of the FAIS Act, and section 10 of the Fit and Proper Requirements, and sections 2, 11 and 12 of the Code of Conduct
Ubuntu Bam Trading Enterprise CC	39549	6 December 2013	Contravention of section 15A of the FSB Act
Zoomvent Trading CC t/a PE Auto Lot	22198	5 December 2013	Contravention of section 15A of the FSB Act, and section 10 of the Fit and Proper Requirements

This Notice is called the Notice on Withdrawal of Authorisation, No 1 of 2014.



C D DA SILVA
Deputy Registrar of Financial Services Providers

BOARD NOTICE 20 OF 2014**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****LIFTING OF SUSPENSION**

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby make known that the suspensions of the following licensees have been lifted with effect from the dates referred to hereunder:

LICENSEE	FSP NO	EFFECTIVE DATE
Alan Fisher And Associates CC	11841	20 December 2013
Bongani Clifford Dladla	41183	28 November 2013
C & H Trust t/a Auto Traders	7294	19 November 2013
Certosa Trading 60 CC t/a Daan Wessels Makelaars	17662	19 December 2013
Elizabeth Mamaregane t/a MT Insurance Brokers	16963	10 December 2013
HV Makelaars BK	37265	28 November 2013
Legal Protection Services (Pty) Ltd	3887	5 December 2013
Lehlohonolo Elias Motaung t/a Lehlohonolo Brokers	17719	10 December 2013
Matorokisi Financial Services CC t/a MFS	37667	28 November 2013
Robert Thomas Lamont	43842	14 November 2013
Sivananda Chetty t/a Finsure Financial Services	12935	12 December 2013
Tholwana Healthcare Services (Pty) Ltd	35611	14 November 2013
Vuwa Investments (Pty) Ltd	29450	12 December 2013
Deon Pretorius t/a DP Brokers	5799	30 December 2013
Collective Insurance Brokers (Pty) Ltd	11203	8 January 2014

This Notice is called the Notice on Lifting of Suspension of Authorisation, No 1 of 2014.



C D DA SILVA

Deputy Registrar of Financial Services Providers

BOARD NOTICE 21 OF 2014**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****REINSTATEMENT OF WITHDRAWN LICENCES**

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby make known that the licences of the following licensees have been reinstated with effect from the respective dates referred to hereunder:

LICENSEE	FSP NO	EFFECTIVE DATE
JG Cronje Consultants CC t/a Gerhard Cronje Brokers	42168	9 January 2014
Linda Thokozile Ntoni t/a L Conco & Associates	6383	29 November 2013
Alten Wilberforce Nortje t/a AW Nortje Life Insurance	14128	28 November 2013
Benjamin Nkunswini Ntshangase t/a Ntshangase Brokers	26783	20 November 2013
Autumn Star Trading 274 (Pty) Ltd t/a Autumn Star	28893	9 December 2013
Abercrombie Asset Management (Pty) Ltd	29157	19 November 2013
Michael Lawrence Smith	39339	12 December 2013
Imnkanyezi Yesizwe Trading And Projects (Pty) Ltd	43542	19 November 2013

This Notice is called the Notice on Reinstatement of Withdrawn Licences, No1 of 2014.



C D DA SILVA

Deputy Registrar of Financial Services Providers

BOARD NOTICE 22 OF 2014**FINANCIAL SERVICES BOARD****FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002****SUSPENSION OF AUTHORISATION**

I, Caroline Dey da Silva, the Deputy Registrar of Financial Services Providers, hereby make known under section 9(2)(d) of the Financial Advisory and Intermediary Services Act, 2002 ("FAIS Act"), that the licences of the following licensees have been suspended with effect from the dates referred to hereunder:

LICENSEE	FSP NO	EFFECTIVE DATE	REASONS FOR SUSPENSION
Fred Lovelock & Associates (Newcastle) CC t/a MSB	22405	5 December 2013	Contravention of section 10 of the Determination of Fit and Proper Requirements for Financial Services Providers, 2003 ("Fit and Proper Requirements")
Mudzi Driving School CC t/a Mudzi Insurance Brokers	44066	27 November 2013	Contravention of section 10 of the Fit and Proper Requirements
Pal Life CC	43259	25 November 2013	Contravention of section 10 of the Fit and Proper Requirements
Rio De La Platta CC	35687	5 December 2013	Contravention of section 10 of the Fit and Proper Requirements
Sipho Simon Ngidi t/a Isipho Brokers	44070	25 November 2013	Contravention of section 10 of the Fit and Proper Requirements
Surecare Brokers CC	9612	5 December 2013	Contravention of section 10 of the Fit and Proper Requirements

The terms attached to the suspension:

- (a) The licensees are prohibited from concluding any new business.
- (b) The licensees must inform all affected clients and product suppliers concerned that their licences have been suspended, and the Registrar must be copied with such correspondence.
- (c) The licensees must, in consultation with clients and product suppliers concerned, take reasonable steps to ensure that any outstanding business is transferred to another licensed financial services provider in the interest of clients, and must advise the Registrar accordingly.
- (d) The suspension of the licences will endure for a period of three months after the effective date, whereafter the Registrar will lift the suspension if satisfied that the licensees comply with the requirements of the Act or withdraw the licences if not so satisfied.

This Notice is called the Notice on Suspension of Authorisation, No 1 of 2014.



C D DA SILVA

Deputy Registrar of Financial Services Providers

Printed by and obtainable from the Government Printer, Bosman Street, Private Bag X85, Pretoria, 0001
Publications: Tel: (012) 334-4508, 334-4509, 334-4510
Advertisements: Tel: (012) 334-4673, 334-4674, 334-4504
Subscriptions: Tel: (012) 334-4735, 334-4736, 334-4737
Cape Town Branch: Tel: (021) 465-7531

Gedruk deur en verkrygbaar by die Staatsdrukker, Bosmanstraat, Privaatsak X85, Pretoria, 0001
Publikasies: Tel: (012) 334-4508, 334-4509, 334-4510
Advertensies: Tel: (012) 334-4673, 334-4674, 334-4504
Subskripsies: Tel: (012) 334-4735, 334-4736, 334-4737
Kaapstad-tak: Tel: (021) 465-7531