

(2 December 2022 – to date)

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT 37 OF 2002

(Government Notice 1453 in Government Gazette 24079 dated 15 November 2002. Various commencement dates – See Act for details)

QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER

Board Notice 127 in Government Gazette 33537 dated 9 September 2010. Commencement date:
9 September 2010.

As amended by:

Board Notice 136 in Government Gazette 32293 dated 15 August 2012. Commencement date:
15 August 2012.

Board Notice 269 in Government Gazette 37168 dated 20 December 2013. Commencement date:
20 December 2013.

Board Notice 77 in Government Gazette 38665 dated 31 March 2015. Commencement date:
31 March 2015.

Board Notice 148 in Government Gazette 40239 dated 31 August 2016. Commencement date:
1 September 2016.

Board Notice 51 in Government Gazette 40785 dated 13 April 2017. Commencement date:
13 April 2017. (Publisher's Note – BN 51 repealed by Paragraph 6 of GN 2815)

Government Notice 2815 in Government Gazette 47632 dated 2 December 2022. Commencement date:
2 December 2022.

I, Dube Phineas Tshidi, Registrar of Financial Services Providers, hereby determine 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, the qualifications, experience and criteria for approval as compliance officer, as set out in the Schedule.

(Signed)

DP Tshidi,

Registrar of Financial Services Providers

Prepared by:

SCHEDULE

QUALIFICATIONS, EXPERIENCE AND CRITERIA FOR APPROVAL AS COMPLIANCE OFFICER

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PART I

1. Definitions

In this Schedule “the Act” means the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), any word or expression to which a meaning has been assigned in the Act, read with the definition of “this Act” in section 1(1) of the Act, shall have that meaning and, unless the context otherwise indicates-

“**applicant**” means the natural person applying to the Registrar for approval as a compliance officer, including the natural person appointed by the compliance practice to render compliance services in respect of a particular provider;

“**application form**” means form 6 and 12 of the Application by Financial Services Providers for Authorisation by the Financial Sector Conduct Authority, FSCA FAIS Notice 1 of 2018;

(Definition of “application form” substituted by paragraph 2(a) of GN 2815 dated 2 December 2022)

“Category I FSP” means the person referred to in the definition of “Category I” as defined in section 1(1) of the Determination of Fit and Proper Requirements;

(Definition of “Category I FSP” inserted by paragraph 2(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

“Category II FSP” means the person referred to in the definition of “Category II” as defined in section 1(1) of the Determination of Fit and Proper Requirements;

(Definition of “Category II FSP” inserted by paragraph 2(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

“Category IIA FSP” means the person referred to in the definition of “Category IIA” as defined in section 1(1) of the Determination of Fit and Proper Requirements;

(Definition of “Category IIA FSP” inserted by paragraph 2(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

“Category III FSP” means the person referred to in the definition of “Category III” as defined in section 1(1) of the Determination of Fit and Proper Requirements;

(Definition of “Category III FSP” inserted by paragraph 2(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

“Category IV FSP” means the person referred to in the definition of “Category IV” as defined in section 1(1) of the Determination of Fit and Proper Requirements;

(Definition of “Category IV FSP” inserted by paragraph 2(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

“compliance officer” means-

- (i) a natural person appointed to render compliance services, including a natural person appointed by a compliance practice; or
- (ii) a compliance practice appointed to render compliance services, and approved, on application, by the Registrar for such purpose;

“compliance practice” means a company, close corporation or partnership that appoints one or more natural persons to render compliance services in respect of a particular provider and such natural persons are approved by the Registrar for that purpose as compliance officers;

“compliance services” means the performance by a compliance officer of functions contemplated in section 17 of the Act;

“continuous professional development” or **“CPD”** means a process of ongoing learning and development, with the aim to enable the compliance officer to maintain the required competencies to render compliance services competently;

“Determination of Qualifying Criteria and Qualifications”

(Definition of “Determination of Qualifying Criteria and Qualifications” inserted by paragraph 2(b) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(Definition of “Determination of Qualifying Criteria and Qualifications” deleted by paragraph 2(b) of GN 2815 dated 2 December 2022)

“external compliance officer” means a compliance officer other than an internal compliance officer and includes a compliance practice;

“Fit and Proper Requirements” means the Determination of Fit and Proper Requirements for Financial Services Providers, 2017, published by Board Notice 194 of 2017 in Government Gazette No. 41321 on 15 December 2017;

(Definition of “Fit and Proper Requirements” inserted by paragraph 2(c) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(Definition of “Fit and Proper Requirements” substituted by paragraph 2(c) of GN 2815 dated 2 December 2022)

“generic recognised compliance qualification” means a qualification recognised by the Registrar that addresses knowledge, skills and competence that are broadly applicable to the rendering of compliance services;

“internal compliance officer” means a compliance officer that is a natural person in the permanent employ of a financial services provider and that renders compliance services in respect of that particular provider or another financial services provider that is a subsidiary, holding company or subsidiary of the holding company, of the first-mentioned provider;

“list of recognised compliance qualifications” means the qualifications recognised by the Registrar as either generic recognised compliance qualifications or specific recognised compliance qualifications and published by notice in the *Gazette* as part of Annexure 2;

“Phase I approval” means the approval by the Registrar of, *inter alia*, an applicant's qualifications, experience and personal character qualities of honesty and integrity;

“Phase II approval” means the approval granted by the Registrar to an applicant to render compliance services to a specific provider;

“qualifying criteria” means the qualifying criteria in Annexure 1;

“regulatory examination” in relation to an applicant seeking approval to render compliance services in respect of-

- (a) a Category I or IV FSP, means the RE 1 regulatory examination developed in terms of the criteria set out in Table 1 of Annexure Five of the Fit and Proper Requirements;
- (b) Category II or IIA FSP, means the –
 - (i) RE 1 regulatory examination developed in terms of the criteria set out in Table 1 of Annexure Five of the Fit and Proper Requirements; and
 - (ii) RE 3 regulatory examination developed in terms of the criteria set out in Table 2 of Annexure Five of the Fit and Proper Requirements;
- (c) Category III FSP, means the-
 - (i) RE 1 regulatory examination developed in terms of the criteria set out in Table 1 of Annexure Five of the Fit and Proper Requirements; and
 - (ii) RE 4 regulatory examination developed in terms of the criteria set out in Table 3 of Annexure Five of the Fit and Proper Requirements.

(Definition of “regulatory examination” substituted by paragraph 2(d) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(Definition of “regulatory examination” substituted by paragraph 2(d) of GN 2815 dated 2 December 2022)

“specific recognised compliance qualification” means a qualification recognised by the Registrar that addresses specific and/or specialized knowledge, skills, and competence applicable to the compliance function.

PART II

2. Application for approval as compliance officer

- (1) An applicant and compliance practice must apply on the application forms to the Registrar for Phase I and Phase II approvals.
- (2)
 - (a) The entities that may apply for approval as a compliance practice are-
 - (i) a partnership of which all the partners are natural persons who are themselves approved compliance officers;

- (ii) a company or close corporation that is incorporated and registered in terms of applicable legislation, and of which only individuals who have Phase 1 approval are directors and members of the company or close corporation.
 - (b) Where a member of a close corporation dies, the estate of the member may continue to hold the relevant interest for a period of six months as from the date of the death or for such longer period as the Registrar may approve.
 - (c) Where a member of a close corporation ceases to conform to any requirement of this subparagraph, the member may continue to hold the relevant interest for a period of six months as from the date on which the member ceases so to conform or for such longer period as the Registrar may approve.
- (3) If the Registrar is satisfied that the applicant or compliance practice complies with the criteria for-
- (a) Phase I approval, the Registrar must grant Phase I approval and issue an approval number on payment of the prescribed fee;
 - (b) Phase II approval, the Registrar must grant Phase II approval on payment of the prescribed fee.
- (4) No person may render compliance services without having obtained Phase I and Phase II approvals, except for the persons referred to in paragraph 8(2)(a)(i) and (ii).

PART III

3. Criteria for Phase I approval

- (1) An applicant must-
- (a) hold a qualification on the list of recognised compliance qualifications;
 - (b) have passed the applicable regulatory examination;
(Paragraph 3(1)(b) substituted by paragraph 3 of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)
 - (c) have at least three years' experience in performing a compliance or risk management function;
 - (d) comply with the same requirements determined by the Registrar under section 8(1)(a) of the Act in respect of personal character qualities of honesty and integrity;

- (e) have at least one year's experience in performing a compliance or risk management function in respect of the specific category of providers the applicant seeks to obtain approval to render compliance services;
 - (f) not be an unrehabilitated insolvent, have entered into a compromise with creditors or have been provisionally sequestrated or liquidated; and
 - (g) have adequate access to communication facilities, including at least a telephone or cell phone service and typing and document duplication facilities.
- (2) A person applying for approval as an external compliance officer must-
- (a) have a fixed business address;
 - (b) maintain the operational ability to render compliance services efficiently, including-
 - (i) adequate storage and filing systems for the safe-keeping of records, business communications and correspondence;
 - (ii) control structures, processes and procedures with reference to-
 - (aa) segregation of duties where such segregation is appropriate from an operational risk mitigation perspective;
 - (bb) control of access to the premises;
 - (cc) access rights and data security on electronic data;
 - (dd) physical security of the compliance officer's records;
 - (ee) business policies and controls;
 - (ff) system application testing;
 - (gg) disaster recovery and back-up procedures on electronic data;
 - (hh) a business continuity plan.
- (3) Individuals referred to in paragraph 2(2)(a) must-
- (a) comply with the same requirements determined by the Registrar under section 8(1)(a) of the Act in respect of personal character qualities of honesty and integrity;

- (b) not be an unrehabilitated insolvent, have entered into a compromise with creditors or have been provisionally sequestrated or liquidated.

PART IV

4. Criteria for Phase II approval

- (1) An applicant and compliance practice must have Phase I approval.
- (2) The Registrar must be satisfied that an applicant and compliance practice have-
 - (a) adequate resources available to ensure the efficient rendering of compliance services; and
 - (b) direct access to, and demonstrable support from, the senior management of the provider.
- (3) The Registrar must be satisfied that an applicant and compliance practice will be able to-
 - (a) render compliance services independently and objectively;
 - (b) avoid conflicts of interest in the rendering of compliance services;
 - (c) keep records and supporting documentation of activities undertaken in the course of compliance reviews, visits or monitoring;
 - (d) assist the provider in the compilation of an appropriate compliance risk management strategy as part of the provider's overall risk management strategy;
 - (e) liaise directly with the Registrar; and
 - (f) conduct regular reviews of financial services rendered by the provider and any representative.
- (4) The Registrar must be satisfied that-
 - (a) an applicant and compliance practice who applied for approval as an external compliance officer are able, in respect of-
 - (i) categories I and IV providers, to conduct regular visits to the business premises, business units and/or branches of the provider. The intervals of such visits may not be less than once a quarter and in respect of representatives of the provider, twice a year;

- (ii) categories II, IIA and III providers, to conduct regular visits to the business premises, business units and branches of the provider and any representative. The intervals of such visits may not be less than once a month;
 - (b) an applicant who applied for approval as an internal compliance officer is able in respect of-
 - (i) categories I and IV providers, to conduct regular visits to the business premises, business units and branches of the provider and any representatives, and the intervals of such visits may not be less than once a year;
 - (ii) categories II, IIA and III providers, to conduct regular visits to the business premises, business units and branches of the provider and any representative, and the intervals of such visits may not be less than once a quarter;
 - (c) an applicant and compliance practice be able to provide the provider with reports at intervals not less than the intervals referred to in subparagraphs (a) and (b) on the rendering of financial services, including the making of a recommendation to the provider regarding the rendering of compliance services.
- (5) An applicant and a compliance practice must ensure that the number of clients allocated to any applicant or compliance officer representing such practice, are at all relevant times sufficient to ensure the rendering of proper and appropriate compliance services to such clients.

PART V

5. Compliance with CPD requirements after approval

A compliance officer and the individuals referred to in paragraph 2(2)(a) must comply with the CPD requirements as determined by the Registrar by notice in the *Gazette* from time to time.

PART VI

6. Recognition and qualifying criteria of compliance qualifications

- (1) A person may, in the form and manner determined by the Registrar by notice in the *Gazette*, apply to the Registrar for recognition of a generic compliance qualification or a specific compliance qualification.
- (2) A qualification, subject to paragraph 7, will be recognised by the Registrar based on the extent to which the qualification addresses the qualifying criteria.
- (3) The list of recognised compliance qualifications is published in Annexure 2.

7. Criteria for recognition of a specific and generic compliance qualification

- (1) A qualification, to be recognised as a specific qualification, must be-
 - (a) a qualification registered by SAQA; or
 - (b) an extracurricular specialist programme offered at a post-graduate level by an Institution of Higher Education.
- (2) A qualification referred to in sub-section (1) must-
 - (a) in respect of non-unit standards based qualifications, the qualification must corresponds[sic] with at least 80% of the qualifying criteria; or
 - (b) in respect of unit standards based qualifications, at least 80% of the relevant qualifying criteria is met by the core and elective unit standards of the qualification.
- (3) A qualification, to be recognised as a generic qualification, must be-
 - (a) a qualification registered by SAQA;
 - (b) an extracurricular specialist programme offered at a post-graduate level by an Institution of Higher Education;
 - (c) an industry or professional programme offered through a professional body recognised by the Registrar or an accredited training provider; or
 - (d) a foreign qualification that is similar to a qualification referred to in subparagraphs (a) to (c).
- (4) A qualification referred to in sub-section (3) must-
 - (a) in respect of non-unit standards based qualifications, the individual must have successfully completed a minimum of three subjects listed in Annexure 3, or subjects that are similar in subject matter to those so listed, and at least one of the subjects must be-

(Words preceding paragraph 7(4)(a)(i) substituted by paragraph 3(a) of GN 2815 dated 2 December 2022)

 - (i) in the field of commerce, corporate governance or law; and:
 - (ii) a major subject on final year level, where applicable; or
 - (b) in respect of unit standards based qualifications, at least 60% of the qualifying criteria is met by the core and elective unit standards of the qualification.

Table A:

(Table A deleted by paragraph 3(b) of GN 2815 dated 2 December 2022)

PART VII

8. Delegation of rendering of compliance services

- (1) No compliance officer, other than an internal compliance officer and subject to the conditions referred to in subparagraph (2), may delegate the rendering of compliance services, including compliance monitoring to another person.
- (2) An internal compliance officer may delegate the rendering of compliance services to another person subject to the following conditions:
 - (a) Such other person must-
 - (i) be a natural person in the employ of the provider or a subsidiary, holding company or subsidiary of the holding company of the provider; and
 - (ii) comply with paragraph 3(1) unless the person conducts compliance monitoring in terms of a documented procedure and such person will exercise no judgment in the performance of the procedure; or
 - (iii) be an approved compliance practice.
 - (b) the internal compliance officer must have appropriate oversight of such other person;
 - (c) the internal compliance officer remains accountable for the rendering of compliance services; and
 - (d) the internal compliance officer must maintain a register with the names of the persons to whom the rendering of compliance services has been delegated, a description of the rendering of compliance services delegated and confirmation that the requirements of subparagraph (a)(ii) have been complied with.

9. Withdrawal and lapsing of approval

- (1) The Registrar may withdraw-
 - (a) a compliance officer's approval if such officer no longer complies with any provision of this Notice; and

(b) the Phase I approval granted to an individual referred to in paragraph 2(2)(a) if such individual no longer complies with the criteria for Phase 1 approval and paragraph 5.

(2) Phase I approval of an applicant or compliance practice lapses if the applicant or compliance practice fails to obtain Phase II approval within twelve months of the date of Phase I approval.

(3)

(Paragraph 9(3) deleted by paragraph 4 of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

10. Transitional provisions

(1) Compliance officers approved by the Registrar before or on the date of commencement of this Notice do not have to comply with paragraph 3(1)(a).

(Paragraph 10(1) substituted by paragraph 5(a) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(2) Compliance officers approved by the Registrar on or before 31 August 2016 must comply with paragraph 3(1)(b) by 31 August 2017.

(Paragraph 10(2) substituted by paragraph 5(b) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(3)

(Paragraph 10(3) deleted by paragraph 5(c) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

(4)

(Paragraph 10(4) deleted by paragraph 5(c) of Board Notice 148 in Government Gazette 40239 dated 31 August 2016)

11. Repeals

The Determination of Criteria and Guidelines for the Approval of Compliance Officers, 2002, and the Notice on Qualifications and Experience of Compliance Officer in respect of Financial Services Business, 2008, are hereby repealed.

12. Updating

The Registrar may from time to time, after consultation with the Advisory Committee, publish by notice in the *Gazette* an updated version of this Schedule, including the Annexures.

13. Short title and commencement

Prepared by:

This Notice is called the Notice on Qualifications, Experience and Criteria for Approval of Compliance Officers, 2010, and comes into operation on the date of publication thereof in the *Gazette*.

ANNEXURE 1: QUALIFYING CRITERIA

No	Task	Knowledge Criteria	Skill Criteria
1.	Apply knowledge in terms of the requirements of the Act relating to a Financial Services Provider (“FSP”)	Explain the requirements an FSP must meet in terms of the Act to maintain a license.	Assist in maintaining an FSP licence by executing the required actions as a compliance officer, in terms of the Act
		Explain what processes are required to remain updated with regards to other legislation, amendments, updates and requirements published that will affect the FSP.	
		Explain what is meant by “undesirable business practices” and the punitive measures available to the Registrar if an FSP continues with undesirable practices.	Check that an FSP in its execution of duties and actions do not constitute undesirable business practices.
		Describe the implication for an FSP if the Registrar publishes a notice regarding an “undesirable business practice”.	
		Explain the reparation measures available to the Registrar if an FSP continues with undesirable business practices.	
		Discuss the requirements of the Act around the display of licences.	
		Explain the reasons why a licence can be suspended or withdrawn.	
		Explain what recourse an FSP has in a case where a licence has been suspended or withdrawn.	
		Discuss the reasons for lapsing a licence.	

No	Task	Knowledge Criteria	Skill Criteria
		Describe how lapsing a licence differs from suspension or withdrawals	
		Describe the conditions under which a suspended licence can be reinstated.	
		Describe the role and powers of the Ombud.	Assist an FSP to comply with any requirements the Ombud may have in the event of an investigation.
2.	Apply knowledge of the duties of a representative and requirements in terms of their management and maintenance, in terms of the Financial Advisory and Intermediary Services Act. 2002, the “Act”	Describe the roles, responsibilities and requirements regarding representatives as defined in the Act.	Apply knowledge of the role of the representative in terms of the Act.
		Describe the role and responsibilities of the key individual as defined in the Act.	
		Explain the approval requirements of a representative.	
		Explain when an individual is obliged to be registered as a representative in terms of the Act.	
		Explain the fit and proper requirements that apply to the representatives.	
		Discuss the purpose of the register of representatives.	
		Distinguish between advice and intermediary services as defined in the Act.	
		Explain when representatives can act under supervision.	
		Describe the implications if a representative does not meet all the requirements in terms of the Fit and Proper Requirements by the relevant date.	
		Explain the record keeping requirements in terms of section 18 of the Act and the General Code of Conduct.	Keep records in terms of the requirements of the Act and General Code of Conduct.

No	Task	Knowledge Criteria	Skill Criteria
3.	Apply knowledge of the specific obligations required of the FSP in terms of the relevant Code of Conduct and other subordinate legislation.	Explain the obligations and requirements when client's funds or premiums are received.	Assist a FSP to adhere to the requirements of the Code when depositing client's monies.
		Explain the importance of disclosures and discuss the impact and requirements regarding the disclosure requirements on the FSP.	Assist a FSP to use disclosures that are adequate to enable client to make an informed decision and apply the requirements of the General Code of Conduct.
		Discuss the effect of disclosure requirements on fees and/or commission with reference to different financial products.	Apply disclosure requirements in terms of financial products
		Describe the disclosure requirements regarding the FSP, product suppliers, product suppliers acting as FSPs and financial services.	
		Discuss how to ensure transparency and manage conflict of interests.	
		Distinguish between actions regarded as advice and intermediary services in terms of the Act.	
		Describe the concept of ethical conduct in the financial services environment.	Behave ethically when providing financial services within the financial services environment.
		Discuss your role in terms of ethical conduct in the financial services environment. Identify ethical vs unethical conduct	
		Explain the manner in which complaints are to be handled by the industry with reference to the General Code of Conduct.	Follow the complaints procedures and processes that are in place.
		Explain the steps that must be taken by an FSP/ representative when providing advice.	

No	Task	Knowledge Criteria	Skill Criteria
		<p>Explain the provisions of the General Code relating to -;</p> <ul style="list-style-type: none"> • custody of clients funds and assets; • complaints; • risk management; • insurance cover; • advertising and marketing and • termination. 	
		Provide an overview of the different types of financial services and financial products an FSP can deal with.	
4.	Apply knowledge of financial products and role players within the financial services environment. .	Explain the relationship between different industry players.	
		Discuss the purpose of debarment	Check that the employment/ mandatory agreement with representatives include the reasons for possible debarment.
5.	Awareness of consequences for representatives that have been found to act fraudulently, or committed any other act that gives rise to debarment.	Describe the reasons why debarment would be considered.	
		Discuss the process that would be followed in such instances.	
		Explain what recourse a representative may have.	
		Explain the process and timeframe in which the FSP should notify the Registrar that a representative has been debarred.	
		Describe the role and function of a compliance officer.	Address and rectify any instances of non-compliance.

No	Task	Knowledge Criteria	Skill Criteria
6.	Align execution of duties and actions with the compliance requirements.	Explain the record keeping obligations as imposed by the Act.	Follow the processes in place to provide the management information that is required to complete the reports in terms of legislation.
7.	Carry out the proper record keeping activities.	Explain the requirements regarding the maintenance of records in terms of the Act.	
		Explain the requirements regarding records and the maintenance thereof in terms of other applicable legislative requirements, including the Financial Intelligence Centre Act "FICA".	
		Describe the requirements imposed when record keeping is outsourced to a third party.	Execute the third party outsourcing agreement correctly where applicable.
		Explain in what format the records should be stored and retrieved in accordance to the industry standard.	Carry out the record keeping functionality correctly, including retrieval of records.
		Explain what the security requirements for these records are in terms of confidentiality and access to records.	
		Explain what FICA governs and requires.	
8.	Apply knowledge of the requirements of FICA and other relevant anti-money laundering legislation, as it applies to the FSP.	Describe how the FSP is impacted by FICA.	Comply with the identification, verification, record-keeping and reporting obligations under FICA.
		<ul style="list-style-type: none"> ▪ Describe the key components of a compliance framework including the compliance governance structure, compliance policy, people, systems and processes ▪ Explain how Generally Accepted Compliance Principles and Standards (Issued by the Compliance Institute of South Africa) are used in 	<ul style="list-style-type: none"> ▪ Assist management in the design of a compliance framework. ▪ Assist management to implement compliance structures that will encourage a compliance culture.

No	Task	Knowledge Criteria	Skill Criteria
		<p>the development of a compliance risk management framework</p> <ul style="list-style-type: none"> ▪ Explain the role played by a compliance framework in establishing and maintaining a compliance culture based on the organisation's values and ethical standards 	
9.	Design a compliance risk management framework with reference to the organisation's risk profile and core values, facilitate approval thereof and assist in its implementation	<ul style="list-style-type: none"> ▪ Define management's responsibility for: <ul style="list-style-type: none"> • Compliance with regulatory requirements • The ongoing management of compliance risk in the organisation ▪ Define the role and responsibilities for: <ul style="list-style-type: none"> • A compliance function • A compliance officer ▪ Explain the role and responsibilities of other compliance stakeholders <ul style="list-style-type: none"> ▪ Explain the structure / contents of a compliance manual ▪ Explain how to develop a compliance manual ▪ Explain how to implement a compliance manual <ul style="list-style-type: none"> ▪ Describe the key components of a compliance policy and / or charter ▪ Define and explain the key compliance policies typically required 	<ul style="list-style-type: none"> ▪ Assist management in becoming aware of their responsibilities relating to – <ul style="list-style-type: none"> • compliance with regulatory requirements • the management of compliance risk ▪ Develop a role and responsibility description for: <ul style="list-style-type: none"> • A compliance function • A compliance officer ▪ Provide input / advice to other compliance stakeholders in respect of their compliance related roles and responsibilities <ul style="list-style-type: none"> ▪ Draft a compliance manual ▪ Obtain approval for a compliance manual from executive management ▪ Communicate key aspects of the compliance manual ▪ Implement a compliance manual <ul style="list-style-type: none"> ▪ Draft a compliance policy and / or charter ▪ Facilitate approval of a compliance policy by senior management and governance

No	Task	Knowledge Criteria	Skill Criteria
			<p>committees (for example board or audit committee)</p> <ul style="list-style-type: none"> Facilitate periodic review of a compliance policy and / or charter by senior management and governance committees
		<ul style="list-style-type: none"> Describe key aspects of a compliance function with particular reference to the need for: <ul style="list-style-type: none"> Independence Status Adequate resources 	<ul style="list-style-type: none"> Advise management and other compliance stakeholders on the minimum standards to be adopted for purposes of establishing a compliance function Design and assist with the implementation of a compliance function for the organisation
		<ul style="list-style-type: none"> Describe how to implement and maintain a compliance framework in: <ul style="list-style-type: none"> Different types of businesses Large and small organisations 	<ul style="list-style-type: none"> Implement and maintain a compliance framework in: <ul style="list-style-type: none"> Different types of businesses Large and small organizations
		<ul style="list-style-type: none"> Describe the main compliance function related record keeping requirements 	<ul style="list-style-type: none"> Design compliance record keeping mechanisms relating to the roles / responsibilities of a compliance function Implement compliance record keeping mechanisms for a compliance function Advise management on implementing / maintaining record keeping processes to meet regulatory requirements

No	Task	Knowledge Criteria	Skill Criteria
		<ul style="list-style-type: none"> ▪ Explain the minimum requirements for a complaints handling system from a compliance perspective 	<ul style="list-style-type: none"> ▪ Advise management on implementing / maintaining a complaints process to meet regulatory requirements
		<ul style="list-style-type: none"> ▪ Explain the methodology required to implement the compliance risk management process ▪ Explain Generally Accepted Compliance Principles and Standards (issued by the Compliance Institute of South Africa) relating to compliance risk: <ul style="list-style-type: none"> • Identification • Assessment 	<ul style="list-style-type: none"> ▪ Research the regulatory requirements ▪ Identify, assess and prioritise the applicable regulatory requirements that the organisation is required to comply with, i.e. define the organisation's regulatory risk universe in accordance with the organisation-approved methodology - The output thereof will be a clarified regulatory universe / risk profile ▪ Communicate the regulatory universe and risk profile to relevant stakeholders ▪ Apply Generally Accepted Compliance Principles and Standards (Issued by the Compliance Institute of South Africa) in embedding the compliance process in the organisation
10.	Identify, interpret, assess and clarify the applicable regulatory requirements	<ul style="list-style-type: none"> ▪ Explain methodologies for interpreting regulatory requirements ▪ Explain the applicable regulatory requirements in plain language 	<ul style="list-style-type: none"> ▪ Interpret (basic level) applicable regulatory requirements ▪ Communicate the implications of the regulatory requirements in a business relevant format and manner to – <ul style="list-style-type: none"> • management • other stakeholders

No	Task	Knowledge Criteria	Skill Criteria
		<ul style="list-style-type: none"> Describe the organisation's products and services to facilitate business relevant compliance solutions Explain Generally Accepted Compliance Principles and Standards (issued by the Compliance Institute of South Africa) relating to compliance risk management, i.e. the third phase of the compliance process 	<ul style="list-style-type: none"> Provide input for the development of compliance risk management plans Participate in the decision making processes or forums from a compliance process perspective, e.g. in respect of new product / business in order to provide compliance sign-off in respect of new products / business Provide compliance related advice to management in respect of existing and new business Apply compliance risk management methodologies in assisting management to manage compliance risks and exposures, specifically in respect of management's implementation of preventative and detective controls
11.	Facilitate the development and approval of compliance risk management plans for the organisation	<ul style="list-style-type: none"> Define the basic requirements of a risk management plan 	<ul style="list-style-type: none"> Develop a compliance risk management plan in accordance with Generally Accepted Compliance Principles and Standards (issued by the Compliance Institute of South Africa) that addresses the following as a minimum: <ul style="list-style-type: none"> Pre-control risk assessment (inherent risk before taking into account controls) Identification of existing controls and the facilitation of assessment of the

No	Task	Knowledge Criteria	Skill Criteria
			<p>adequacy and effectiveness thereof in mitigating compliance risk</p> <ul style="list-style-type: none"> Facilitate the determination of additional or required controls to mitigate compliance risk Post control risk assessment (residual risk after taking into account controls) Where controls are not adequate or effective or where additional controls are required, advise / consult with management on the action required and responsibility for the implementation of controls and agree on target dates <ul style="list-style-type: none"> Facilitate and / or effect the implementation and communication of risk management plans Facilitate and / or effect the periodic review and update of risk management plans
		<ul style="list-style-type: none"> Explain the compliance monitoring methodology (substantive and control adequacy & effectiveness monitoring), i.e. the fourth phase of the compliance process Describe the aims of a monitoring programme or plan 	<ul style="list-style-type: none"> Develop a monitoring plan which addresses: <ul style="list-style-type: none"> The scope and objectives of the monitoring plan with stakeholders Implementation of a monitoring methodology in conjunction with stakeholders to assess the adequacy and effectiveness of controls and effectiveness of controls identified as well as substantive testing

No	Task	Knowledge Criteria	Skill Criteria
			<ul style="list-style-type: none"> • Monitoring coverage • Monitoring frequency • Task allocation ▪ Monitor compliance with applicable regulatory requirements relevant to the organisation and its products and / or services (formal and informal). ▪ Prepare working papers and monitoring ~ reports by: <ul style="list-style-type: none"> • Following the Generally Accepted 6 Compliance Standards and Principles (issued by the Compliance Institute of South Africa) relating to monitoring • Application of monitoring methods and tools • Testing the adequacy and effectiveness of controls • Conducting substantive testing • Maintaining monitoring working papers • Recording and evaluating the monitoring findings • Preparing a compliance report that is appropriate for the type of monitoring undertaken and the target audience thereof

No	Task	Knowledge Criteria	Skill Criteria
			<ul style="list-style-type: none"> Provide recommendations based on the findings as documented in working papers
	Conduct compliance monitoring	Explain juristic person governance structures regarding compliance reports	<ul style="list-style-type: none"> Determine the governance requirements relating to compliance reporting to stakeholders, for example executive committee, audit committee and board Determine the compliance reporting needs of governance stakeholders Determine the compliance reporting needs of regulators / supervisors
12.	Compile and submit internal and external compliance reports	<ul style="list-style-type: none"> Explain the reporting requirements relating to the compliance risk management process Describe compliance reporting mechanisms including how to obtain input from organisation stakeholders 	<ul style="list-style-type: none"> Implement a compliance reporting process Allocate responsibility for the submission of reports to designated persons Obtain input from management / stakeholders within submission deadlines Keep records of the reporting received Analyse Input obtained
		<ul style="list-style-type: none"> Explain the purpose of compliance reports 	<ul style="list-style-type: none"> Prepare compliance reports that are fit for purpose
		<ul style="list-style-type: none"> Describe the types of compliance reports Describe the format / contents of compliance reports 	<ul style="list-style-type: none"> Prepare different types of compliance reports, including: <ul style="list-style-type: none"> Executive level Critical issues Detailed Compliance breaches and exposures

No	Task	Knowledge Criteria	Skill Criteria
			<ul style="list-style-type: none"> • Regulatory developments ▪ Produce a report that addresses at least the following in respect of formal compliance monitoring reporting: <ul style="list-style-type: none"> • Title • Executive summary • Objectives • Scope • Describe monitoring methodology • Size or extent of sample • Findings and non compliance issues • Recommendations • Remedial action required • Responsibility for addressing remedial action • Follow-up including due date • Escalation ▪ Report in the appropriate format for informal compliance reporting
		<ul style="list-style-type: none"> ▪ Describe the target audience of the types of compliance reports 	<ul style="list-style-type: none"> ▪ Submit compliance reports to the target recipients thereof
		<ul style="list-style-type: none"> ▪ Explain the consequences of not submitting compliance reports 	<ul style="list-style-type: none"> ▪ Create awareness of the need to submit compliance reports ▪ Manage the submission of compliance reporting to the recipients thereof ▪ Report within specified deadlines

No	Task	Knowledge Criteria	Skill Criteria
		<ul style="list-style-type: none"> Describe applicable regulatory reporting requirements Explain how to integrate compliance reporting with other reporting that is undertaken Explain how to follow-up / track matters reported Describe who the relevant regulators / supervisors are 	<ul style="list-style-type: none"> Assist management in reporting to regulators / supervisors in terms of specifications contained in regulatory reporting requirements Submit compliance officer reports to regulators as required by regulatory requirements Work with other functions / stakeholders in preparing and submitting compliance reporting Manage / track matters reported where follow-up is required Develop and implement a register of regulators / supervisors Coordinate communication channels / liaison with the regulators / supervisors
13.	Coordinate, communicate and liaise with the industry regulators / supervisors	<ul style="list-style-type: none"> Describe the relevant regulatory framework Describe the scope of the regulator's / supervisor's mandate Describe the legislative process Describe how to manage the relationship with regulators / supervisors where more than one regulator / supervisor has jurisdiction Explain how to assist management in the development and maintenance of a compliance culture Describe regulatory requirements relevant to the organisation and its products and services 	<ul style="list-style-type: none"> Assist the organisation to establish and maintain a compliance function that provides a platform to manage relationships with regulators / supervisors Draft a policy to address the management of the relationship with regulators / supervisors Implement a process to manage the relationship with regulators / supervisors across jurisdictions Analyse and interpret (basic level) applicable regulatory requirements Communicate the implications of the regulatory requirements in a business relevant format and manner to –

No	Task	Knowledge Criteria	Skill Criteria
		<ul style="list-style-type: none"> ▪ Explain how to facilitate compliance related communication to management ▪ Describe the organisation's products and services to facilitate the compliance risk management process 	<ul style="list-style-type: none"> • management • other stakeholders ▪ Provide compliance advice to management in respect of compliance with regulatory requirements ▪ Assist management In creating awareness of: <ul style="list-style-type: none"> • Compliance framework • Compliance policy • Compliance function
14.	Assist, guide and advise management on the application of relevant regulatory requirements and facilitate support for a compliance culture through awareness and training	<ul style="list-style-type: none"> ▪ Explain the compliance officer's role and responsibilities relating to the design, development and delivery of compliance awareness and training 	<ul style="list-style-type: none"> ▪ Assist management in creating compliance awareness ▪ Assist management in developing compliance training plans / strategy ▪ Assist in the design, development and delivery of compliance awareness and training Interventions (this is a management responsibility in which the compliance function can play a valuable role, taking into account the limited resources available)

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1154	ADVANCED CERTIFICATE IN COMPLIANCE	116	INTERNATIONAL COMPLIANCE ASSOCIATION	FSB0502	0	0	G
879	ADVANCED CERTIFICATE: BANKING SERVICES	4	MILPARK BUSINESS SCHOOL	90842	6	120	G
1115	ADVANCED CERTIFICATE: FRAUD EXAMINER	347	ASSOCIATION OF CERTIFIED FRAUD EXAMINERS	67269	7	120	G
880	ADVANCED CERTIFICATE: MANAGEMENT	4	MILPARK BUSINESS SCHOOL	90665	6	120	G
944	ADVANCED CERTIFICATE: FINANCIAL PLANNING	198	PSG KONSULT LIMITED	66612	6	125	G
944	ADVANCED CERTIFICATE: FINANCIAL PLANNING	250	CENTURION AKADEMIE	111089	6	120	G
944	ADVANCED CERTIFICATE: FINANCIAL PLANNING	265	MOONSTONE BUSINESS SCHOOL OF EXCELLENCE (PTY) LTD	110441	6	120	G
944	ADVANCED CERTIFICATE: FINANCIAL PLANNING	265	MOONSTONE BUSINESS SCHOOL OF EXCELLENCE (PTY) LTD	83347	6	120	G
620	ADVANCED DIPLOMA IN BUSINESS MANAGEMENT	165	SOUTH AFRICAN INSTITUTE OF MANAGEMENT	67689	6	400	G
1126	ADVANCED DIPLOMA IN MANAGEMENT: FINANCE	15	UNIVERSITY OF WESTERN CAPE	21778	7	120	G
1219	ADVANCED DIPLOMA: ACCOUNTANCY	385	NELSON MANDELA UNIVERSITY	101447	7	120	G
1304	ADVANCED DIPLOMA: FINANCIAL MANAGEMENT	162	REGENT BUSINESS SCHOOL	109030	7	120	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1164	ADVANCED DIPLOMA: TRUST AND ESTATE ADMINISTRATION	11	UNIVERSITY OF FREE STATE	97594	7	120	G
1020	ADVANCED PROGRAMME: RISK MANAGEMENT	1	UNISA	FSB0369	0	0	G
604	ASSOCIATE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	128	THE CHARTERED INSTITUTE OF BUSINESS MANAGEMENT	FSB071	0	0	G
510	BACCALAUREUS ARTIUM	5	UNIVERSITY OF PRETORIA	23375	7	360	G
834	BACCALAUREUS COMMERCII: MARKETING MANAGEMENT	194	GRADUATE ACADEMY OF SOUTH AFRICA	FSB0203	6	360	G
600	BACCALAUREUS COMPUTATIONIS	11	UNIVERSITY OF FREE STATE	16906	7	688	G
1314	BACCALAUREUS COMPUTATIONIS	20	UNIVERSITY OF LIMPOPO	FSB0640	0	0	G
1039	BACCALAUREUS JURIS	300	UNIVERSITY OF NAMIBIA	FSB0389	0	0	G
567	BACCALAUREUS JURIS	5	UNIVERSITY OF PRETORIA	FSB0457	0	0	G
567	BACCALAUREUS JURIS	256	UNIVERSITY OF TRANSKEI	FSB0292	0	0	G
560	BACCALAUREUS PROCURATIONIS	13	RAU	FSB0288	0	0	G
154	BACCALAUREUS PROCURATIONIS	14	UNIVERSITY OF PORT ELIZABETH	4581	6	360	G
520	BACCALAUREUS TECHNOLOGIE: BUSINESS ADMINISTRATION	26	PORT ELIZABETH TECHNIKON	FSB0282	0	0	G
1116	BACHELOR COMMERCE: BUSINESS MANAGEMENT AND INDUSTRIAL PSYCHOLOGY	1	UNISA	FSB0472	0	0	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1116	BACHELOR COMMERCE: BUSINESS MANAGEMENT AND INDUSTRIAL PSYCHOLOGY	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0592	0	0	G
1279	BACHELOR OF ACCOUNTANCY	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	FSB0613	0	0	G
1260	BACHELOR OF ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	90622	7	360	G
254	BACHELOR OF ACCOUNTING	11	UNIVERSITY OF FREE STATE	16946	7	688	G
254	BACHELOR OF ACCOUNTING	339	BOSTON CITY CAMPUS	103057	7	360	G
204	BACHELOR OF ACCOUNTING HONOURS	11	UNIVERSITY OF FREE STATE	17470	8	120	G
63	BACHELOR OF ACCOUNTING SCIENCE	1	UNISA	5535	6	408	G
63	BACHELOR OF ACCOUNTING SCIENCE	7	UNIVERSITY OF THE WITWATERSRAND	49923	7	360	G
63	BACHELOR OF ACCOUNTING SCIENCE	199	WALTER SISULU UNIVERSITY	80190	7	360	G
63	BACHELOR OF ACCOUNTING SCIENCE	252	REGENESYS BUSINESS SCHOOL	111745	7	360	G
1296	BACHELOR OF ACCOUNTING SCIENCES: TAXATION	1	UNISA	86226	7	360	G
746	BACHELOR OF ADMINISTRATION	1	UNISA	5553	9	360	G
746	BACHELOR OF ADMINISTRATION	11	UNIVERSITY OF FREE STATE	8555	7	440	G
746	BACHELOR OF ADMINISTRATION	12	UNIVERSITY OF KWAZULU-NATAL	72826	6	384	G
746	BACHELOR OF ADMINISTRATION	352	CHARTALL BUSINESS COLLEGE	99380	7	360	G
1067	BACHELOR OF ADMINISTRATION: PUBLIC ADMINISTRATION	12	UNIVERSITY OF KWAZULU-NATAL	81823	7	384	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1151	BACHELOR OF ADMINISTRATION: PUBLIC SECTOR MANAGEMENT AND ADMINISTRATION	19	UNIVERSITY OF FORT HARE	FSB0499	0	0	G
1043	BACHELOR OF AGRICULTURE	11	UNIVERSITY OF FREE STATE	8475	7	360	G
1043	BACHELOR OF AGRICULTURE	19	UNIVERSITY OF FORT HARE	3393	7	384	G
87	BACHELOR OF ARTS	12	UNIVERSITY OF KWAZULU-NATAL	84727	7	360	G
1168	BACHELOR OF ARTS HONOURS: BUSINESS MANAGEMENT / ECONOMICS	11	UNIVERSITY OF FREE STATE	FSB0513	0	0	G
1140	BACHELOR OF ARTS HONOURS: COMMERCE	362	NAPIER UNIVERSITY, EDINBURGH	FSB0488	0	0	G
972	BACHELOR OF ARTS: INVESTMENT & INTERNATIONAL RELATIONS	273	LONDON METROPOLITAN UNIVERSITY	FSB0326	0	0	G
918	BACHELOR OF ARTS: APPLIED ECONOMICS WITH FRENCH STUDIES	243	KINGSTON UNIVERSITY	FSB0270	0	0	G
1025	BACHELOR OF ARTS: BUSINESS STUDIES	299	THE MANCHESTER METROPOLITAN UNIVERSITY	FSB0374	0	0	G
279	BACHELOR OF ARTS: ECONOMICS	253	UNIVERSITY OF LEEDS	FSB0286	0	0	G
1004	BACHELOR OF ARTS: ECONOMICS AND INTERNATIONAL RELATIONS	289	CONNECTICUT COLLEGE NEW LONDON	FSB0353	0	0	G
1239	BACHELOR OF ARTS: LAW SUBJECTS	360	NORTH WEST UNIVERSITY	23375	7	360	G
289	BACHELOR OF BUSINESS ADMINISTRATION	252	REGENESYS BUSINESS SCHOOL	84027	7	360	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
289	BACHELOR OF BUSINESS ADMINISTRATION	307	TSIBA	61469	7	369	G
867	BACHELOR OF BUSINESS ADMINISTRATION	154	HERIOT-WATT UNIVERSITY	FSB0284	0	0	G
867	BACHELOR OF BUSINESS ADMINISTRATION	278	SOLUSI UNIVERSITY	FSB0333	0	0	G
867	BACHELOR OF BUSINESS ADMINISTRATION	283	UNIVERSITY OF PHOENIX	FSB0342	0	0	G
867	BACHELOR OF BUSINESS ADMINISTRATION	308	UNIVERSITY OF MALAWI	FSB0396	0	0	G
867	BACHELOR OF BUSINESS ADMINISTRATION	309	MING CHUAN UNIVERSITY	FSB0398	0	0	G
867	BACHELOR OF BUSINESS ADMINISTRATION	341	WOODFIELD UNIVERSITY	FSB0466	0	0	G
1200	BACHELOR OF BUSINESS ADMINISTRATION: BANKING	252	REGENESYS BUSINESS SCHOOL	96456	7	360	G
963	BACHELOR OF BUSINESS ADMINISTRATION: BUSINESS MANAGEMENT	12	UNIVERSITY OF KWAZULU-NATAL	72833	7	384	G
914	BACHELOR OF BUSINESS ADMINISTRATION: MARKETING MANAGEMENT	101	IMM GRADUATE SCHOOL OF MARKETING	80967	7	400	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
817	BACHELOR OF BUSINESS MANAGEMENT	28	UNIVERSITY OF HAMPSHIRE	FSB0187	0	0	G
847	BACHELOR OF BUSINESS SCIENCE	186	RHODES UNIVERSITY	108855	8	480	G
878	BACHELOR OF BUSINESS SCIENCE	92	MONASH SOUTH AFRICA	88603	7	374	G
1280	BACHELOR OF BUSINESS SCIENCE	12	UNIVERSITY OF KWAZULU-NATAL	FSB0614	0	0	G
1267	BACHELOR OF BUSINESS SCIENCE: MANAGEMENT	12	UNIVERSITY OF KWAZULU-NATAL	81070	8	480	G
1064	BACHELOR OF BUSINESS SCIENCE: ECONOMICS	9	UNIVERSITY OF CAPE TOWN	FSB0412	9	120	G
872	BACHELOR OF BUSINESS STUDIES	221	DUBLIN CITY UNIVERSITY	FSB0227	0	0	G
905	BACHELOR OF BUSINESS STUDIES HONOURS	22	UNIVERSITY OF ZIMBABWE	FSB0261	0	0	G
1122	BACHELOR OF BUSINESS: FINANCE AND MANAGEMENT	349	EDITH COWAN UNIVERSITY AUSTRALIA	FSB0477	0	0	G
1038	BACHELOR OF COMMERCE	340	THE NATIONAL UNIVERSITY OF LESOTHO	FSB0463	0	0	G
706	BACHELOR OF COMMERCE	9	UNIVERSITY OF CAPE TOWN	FSB0207	7	432	G
706	BACHELOR OF COMMERCE	20	UNIVERSITY OF LIMPOPO	FSB0285	0	0	G
964	BACHELOR OF COMMERCE	77	INDEPENDENT INSTITUTE OF EDUCATION	84706	7	366	G
964	BACHELOR OF COMMERCE	379	CTI EDUCATION GROUP	80730	7	364	G
131	BACHELOR OF COMMERCE	1	UNISA	5563	6	384	G
131	BACHELOR OF COMMERCE	4	MILPARK BUSINESS SCHOOL	90509	7	370	G
131	BACHELOR OF COMMERCE	5	UNIVERSITY OF PRETORIA	7027	7	386	G
131	BACHELOR OF COMMERCE	7	UNIVERSITY OF THE WITWATERSRAND	9843	6	360	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
131	BACHELOR OF COMMERCE	18	UNIVERSITY OF POTCHEFSTROOM	13758	7	384	G
131	BACHELOR OF COMMERCE	162	REGENT BUSINESS SCHOOL	71778	7	360	G
131	BACHELOR OF COMMERCE	172	UNIVERSITY OF ZULULAND	94058	7	360	G
131	BACHELOR OF COMMERCE	186	RHODES UNIVERSITY	15147	7	360	G
518	BACHELOR OF COMMERCE	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87057	7	360	G
738	BACHELOR OF COMMERCE: ECONOMICS	11	UNIVERSITY OF FREE STATE	16920	6	504	G
1153	BACHELOR OF COMMERCE BANKING AND FINANCE HONOURS DEGREE	365	MIDLANDS STATE UNIVERSITY	FSB0501	0	0	G
598	BACHELOR OF COMMERCE HONOURS	1	UNISA	5687	8	120	G
598	BACHELOR OF COMMERCE HONOURS	162	REGENT BUSINESS SCHOOL	79326	8	120	G
593	BACHELOR OF COMMERCE HONOURS INSURANCE AND RISK MANAGEMENT	29	MIDLANDS STATE UNIVERSITY	FSB0132	0	0	G
1147	BACHELOR OF COMMERCE HONOURS: MANAGEMENT ACCOUNTING	10	UNIVERSITY OF STELLENBOSCH	FSB0544	0	0	G
1147	BACHELOR OF COMMERCE HONOURS: MANAGEMENT ACCOUNTING	11	UNIVERSITY OF FREE STATE	FSB0497	0	0	G
313	BACHELOR OF COMMERCE HONOURS: ACCOUNTING	11	UNIVERSITY OF FREE STATE	16948	8	120	G
874	BACHELOR OF COMMERCE HONOURS: ACTUARIAL SCIENCE	30	NATIONAL UNIVERSITY OF SCIENCE AND TECHNOLOGY	FSB0229	0	0	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
733	BACHELOR OF COMMERCE HONOURS: BUSINESS FINANCE, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	79007	8	128	G
1014	BACHELOR OF COMMERCE HONOURS: BUSINESS MANAGEMENT	1	UNISA	FSB0363	0	0	G
576	BACHELOR OF COMMERCE HONOURS: ECONOMETRICS	8	UNIVERSITY OF JOHANNESBURG	3173	8	160	G
930	BACHELOR OF COMMERCE HONOURS: ECONOMICS	1	UNISA	FSB0276	0	0	G
930	BACHELOR OF COMMERCE HONOURS: ECONOMICS	10	UNIVERSITY OF STELLENBOSCH	FSB0465	0	0	G
949	BACHELOR OF COMMERCE HONOURS: FINANCIAL ANALYSIS	10	UNIVERSITY OF STELLENBOSCH	FSB0302	0	0	G
923	BACHELOR OF COMMERCE HONOURS: RISK MANAGEMENT	17	UNIVERSITY OF NORTH WEST	FSB0274	0	0	G
389	BACHELOR OF COMMERCE HONOURS: TAXATION	11	UNIVERSITY OF FREE STATE	FSB0498	0	0	G
711	BACHELOR OF COMMERCE IN COST AND MANAGEMENT ACCOUNTING	21	UNIVERSITY OF VENDA	9175	6	424	G
1201	BACHELOR OF COMMERCE: ACCOUNTING	172	UNIVERSITY OF ZULULAND	FSB0548	0	0	G
1082	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT	1	UNISA	FSB0534	0	0	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1082	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT	10	UNIVERSITY OF STELLENBOSCH	FSB0508	0	0	G
1082	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0434	0	0	G
1104	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT AND ECONOMICS	5	UNIVERSITY OF PRETORIA	FSB0621	0	0	G
1104	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT AND ECONOMICS	8	UNIVERSITY OF JOHANNESBURG	FSB0561	0	0	G
1104	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT AND ECONOMICS	19	UNIVERSITY OF FORT HARE	FSB0462	0	0	G
1104	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT AND ECONOMICS	385	NELSON MANDELA UNIVERSITY	FSB0562	0	0	G
1142	BACHELOR OF COMMERCE: CHARTERED ACCOUNTANCY	360	NORTH WEST UNIVERSITY	FSB0490	0	0	G
1144	BACHELOR OF COMMERCE: ECONOMICS AND STATISTICS	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0491	0	0	G
1226	BACHELOR OF COMMERCE: ECONOMICS AND STATISTICS	9	UNIVERSITY OF CAPE TOWN	4437	6	432	G
1173	BACHELOR OF COMMERCE: ECONOMICS, FINANCE	12	UNIVERSITY OF KWAZULU-NATAL	FSB0519	0	0	G
966	BACHELOR OF COMMERCE: GENERAL	19	UNIVERSITY OF FORT HARE	FSB0322	0	0	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
983	BACHELOR OF COMMERCE: HUMAN RESOURCE MANAGEMENT, MARKETING	12	UNIVERSITY OF KWAZULU-NATAL	FSB0332	0	0	G
1141	BACHELOR OF COMMERCE: INDUSTRIAL PSYCHOLOGY AND LABOUR RELATIONS MANAGEMENT	360	NORTH WEST UNIVERSITY	FSB0489	0	0	G
1102	BACHELOR OF COMMERCE: INFORMATION MANAGEMENT	47	DAMELIN	61649	6	360	G
1241	BACHELOR OF COMMERCE: INFORMATION TECHNOLOGY	11	UNIVERSITY OF FREE STATE	16922	6	488	G
2	BACHELOR OF COMMERCE: INTERNAL AUDITING	5	UNIVERSITY OF PRETORIA	16390	7	464	G
1171	BACHELOR OF COMMERCE: MANAGEMENT	19	UNIVERSITY OF FORT HARE	FSB0553	0	0	G
1171	BACHELOR OF COMMERCE: MANAGEMENT	360	NORTH WEST UNIVERSITY	FSB0517	0	0	G
1190	BACHELOR OF COMMERCE: MANAGEMENT	172	UNIVERSITY OF ZULULAND	FSB0539	0	0	G
1268	BACHELOR OF COMMERCE: MANAGEMENT STUDIES	9	UNIVERSITY OF CAPE TOWN	FSB0602	0	0	G
1176	BACHELOR OF COMMERCE: MANAGEMENT, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	FSB0522	0	0	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1186	BACHELOR OF COMMERCE: MANAGEMENT, HUMAN RESOURCE MANAGEMENT	12	UNIVERSITY OF KWAZULU-NATAL	FSB0537	0	0	G
1172	BACHELOR OF COMMERCE: MARKETING, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	FSB0518	0	0	G
514	BACHELOR OF COMMERCE: ACCOUNTANCY AND LAW	17	UNIVERSITY OF NORTH WEST	FSB0298	0	0	G
568	BACHELOR OF COMMERCE: ACCOUNTING	21	UNIVERSITY OF VENDA	FSB0394	0	0	G
51	BACHELOR OF COMMERCE: ACCOUNTING	15	UNIVERSITY OF WESTERN CAPE	7259	6	360	G
51	BACHELOR OF COMMERCE: ACCOUNTING	19	UNIVERSITY OF FORT HARE	17394	7	384	G
51	BACHELOR OF COMMERCE: ACCOUNTING	47	DAMELIN	58004	7	360	G
51	BACHELOR OF COMMERCE: ACCOUNTING	199	WALTER SISULU UNIVERSITY	80806	7	360	G
166	BACHELOR OF COMMERCE: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	73772	6	432	G
803	BACHELOR OF COMMERCE: ACCOUNTING	12	UNIVERSITY OF KWAZULU-NATAL	14780/79009	6	416	G
803	BACHELOR OF COMMERCE: ACCOUNTING	162	REGENT BUSINESS SCHOOL	90913	7	360	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
803	BACHELOR OF COMMERCE: ACCOUNTING	200	MIDRAND GRADUATE INSTITUTE	48853	7	540	G
1130	BACHELOR OF COMMERCE: ACCOUNTING FINANCE	355	GRIFFITH UNIVERSITY QUEENSLAND, AUSTRALIA	FSB0483	0	0	G
1085	BACHELOR OF COMMERCE: ACCOUNTING FOR CHARTERED ACCOUNTANTS	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0438	0	0	G
197	BACHELOR OF COMMERCE: ACCOUNTING SCIENCES	5	UNIVERSITY OF PRETORIA	7033	7	493	G
734	BACHELOR OF COMMERCE: ACTUARIAL SCIENCE	10	UNIVERSITY OF STELLENBOSCH	FSB0250	0	0	G
575	BACHELOR OF COMMERCE: AGRICULTURAL ECONOMICS	5	UNIVERSITY OF PRETORIA	FSB0281	0	0	G
837	BACHELOR OF COMMERCE: AUDITING, MANAGERIAL ACCOUNTING, FINANCE	12	UNIVERSITY OF KWAZULU-NATAL	79006	7	384	G
513	BACHELOR OF COMMERCE: BANKING	172	UNIVERSITY OF ZULULAND	FSB0294	0	0	G
259	BACHELOR OF COMMERCE: BANKING	1	UNISA	84327	7	360	G
724	BACHELOR OF COMMERCE: BUSINESS FINANCE, ECONOMICS	12	UNIVERSITY OF KWAZULU-NATAL	79006	0	0	G
1058	BACHELOR OF COMMERCE: BUSINESS INFORMATICS	1	UNISA	86267	7	360	G
152	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT	113	DA VINCI INSTITUTE	84767	7	360	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
152	BACHELOR OF COMMERCE: BUSINESS MANAGEMENT	380	PRESTIGE ACADEMY	84887	7	365	G
876	BACHELOR OF COMMERCE: COMMUNICATION	13	RAU	FSB0230	0	0	G
853	BACHELOR OF COMMERCE: ECONOMETRICS	13	RAU	FSB0216	0	0	G
917	BACHELOR OF COMMERCE: ECONOMIC AND MANAGEMENT SCIENCE	10	UNIVERSITY OF STELLENBOSCH	19585	7	386	G
913	BACHELOR OF COMMERCE: ECONOMICS	20	UNIVERSITY OF LIMPOPO	19680	6	360	G
153	BACHELOR OF COMMERCE: ECONOMICS	21	UNIVERSITY OF VENDA	9209	7	476	G
1042	BACHELOR OF COMMERCE: ECONOMICS	305	MCGILL UNIVERSITY	FSB0391	0	0	G
946	BACHELOR OF COMMERCE: ECONOMICS AND ECONOMETRICS	8	UNIVERSITY OF JOHANNESBURG	FSB0300	0	0	G
780	BACHELOR OF COMMERCE: ECONOMICS AND INTERNATIONAL TRADE	17	UNIVERSITY OF NORTH WEST	72773	7	360	G
165	BACHELOR OF COMMERCE: ECONOMICS AND LAW	9	UNIVERSITY OF CAPE TOWN	4427	6	432	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
992	BACHELOR OF COMMERCE: ECONOMICS AND RISK MANAGEMENT	17	UNIVERSITY OF NORTH WEST	FSB0340	0	0	G
585	BACHELOR OF COMMERCE: ENTREPRENEURSHIP	1	UNISA	5563	6	360	G
585	BACHELOR OF COMMERCE: ENTREPRENEURSHIP	5	UNIVERSITY OF PRETORIA	16687	7	448	G
1117	BACHELOR OF COMMERCE: ENTREPRENEURSHIP AND BUSINESS MANAGEMENT	17	UNIVERSITY OF NORTH WEST	FSB0473	0	0	G
11	BACHELOR OF COMMERCE: FINANCE	205	BOND UNIVERSITY	24462	7	360	G
982	BACHELOR OF COMMERCE: FINANCIAL ACCOUNTANCY	9	UNIVERSITY OF CAPE TOWN	FSB0421	0	0	G
766	BACHELOR OF COMMERCE: FINANCIAL JOURNALISM	11	UNIVERSITY OF FREE STATE	16923	6	536	G
691	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT	1	UNISA	0201 1 FIM	6	360	G
691	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT	21	UNIVERSITY OF VENDA	22854	6	424	G
691	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT	76	MANAGEMENT COLLEGE OF SOUTH AFRICA (MANCOSA)	94677	7	360	G
761	BACHELOR OF COMMERCE: FINANCIAL MANAGEMENT SCIENCE	5	UNIVERSITY OF PRETORIA	7063	7	471	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
307	BACHELOR OF COMMERCE: FINANCIAL PLANNING	14	UNIVERSITY OF PORT ELIZABETH	66093	6	366	G
307	BACHELOR OF COMMERCE: FINANCIAL PLANNING	403	AKADEMIA NPC	99642	7	370	G
511	BACHELOR OF COMMERCE: GENERAL	15	UNIVERSITY OF WESTERN CAPE	19408	7	360	G
1071	BACHELOR OF COMMERCE: GENERAL ACCOUNTING	14	UNIVERSITY OF PORT ELIZABETH	FSB0433	7	360	G
414	BACHELOR OF COMMERCE: HUMAN RESOURCE MANAGEMENT	1	UNISA	5563	6	360	G
414	BACHELOR OF COMMERCE: HUMAN RESOURCE MANAGEMENT	5	UNIVERSITY OF PRETORIA	7067	7	455	G
256	BACHELOR OF COMMERCE: INDUSTRIAL PSYCHOLOGY	21	UNIVERSITY OF VENDA	9411	7	476	G
726	BACHELOR OF COMMERCE: INTERNATIONAL TRADE AND MARKETING	17	UNIVERSITY OF NORTH WEST	FSB0291	0	0	G
35	BACHELOR OF COMMERCE: INVESTMENT MANAGEMENT	5	UNIVERSITY OF PRETORIA	16386	6	473	G
35	BACHELOR OF COMMERCE: INVESTMENT MANAGEMENT	13	RAU	73777	7	432	G
994	BACHELOR OF COMMERCE: INVESTMENT MANAGEMENT AND BANKING	11	UNIVERSITY OF FREE STATE	FSB0351	0	0	G

ANNEXURE 2							
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
164	BACHELOR OF COMMERCE: LAW	11	UNIVERSITY OF FREE STATE	16909	6	360	G
164	BACHELOR OF COMMERCE: LAW	15	UNIVERSITY OF WESTERN CAPE	86172	7	375	G
164	BACHELOR OF COMMERCE: LAW	77	INDEPENDENT INSTITUTE OF EDUCATION	93729	7	376	G
164	BACHELOR OF COMMERCE: LAW	335	PEARSON INSTITUTE OF HIGHER EDUCATION	86306	7	403	G
164	BACHELOR OF COMMERCE: LAW	360	NORTH WEST UNIVERSITY	100948	7	360	G
264	BACHELOR OF COMMERCE: LAW	8	UNIVERSITY OF JOHANNESBURG	73778	6	448	G
264	BACHELOR OF COMMERCE: LAW	10	UNIVERSITY OF STELLENBOSCH	15594	6	369	G
264	BACHELOR OF COMMERCE: LAW	339	BOSTON CITY CAMPUS	104712	7	360	G
643	BACHELOR OF COMMERCE: LAW	1	UNISA	FSB0362	0	0	G
643	BACHELOR OF COMMERCE: LAW	12	UNIVERSITY OF KWAZULU-NATAL	FSB0411	0	0	G
643	BACHELOR OF COMMERCE: LAW	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0453	0	0	G
1119	BACHELOR OF COMMERCE: LOGISTICS	1	UNISA	FSB0475	0	0	G
419	BACHELOR OF COMMERCE: MANAGEMENT	1	UNISA	5563	6	384	G
419	BACHELOR OF COMMERCE: MANAGEMENT	80	LYCEUM COLLEGE	80286	7	432	G
898	BACHELOR OF COMMERCE: MANAGEMENT	238	UNIVERSITY OF DUBLIN	FSB0254	0	0	G
898	BACHELOR OF COMMERCE: MANAGEMENT	328	THE UNIVERSITY OF SWAZILAND	FSB0431	0	0	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1105	BACHELOR OF COMMERCE: MANAGEMENT MARKETING	339	BOSTON CITY CAMPUS	88683	7	374	G
127	BACHELOR OF COMMERCE: MANAGEMENT SCIENCES	10	UNIVERSITY OF STELLENBOSCH	19587	6	370	G
915	BACHELOR OF COMMERCE: MANAGEMENT, MARKETING	12	UNIVERSITY OF KWAZULU-NATAL	FSB0266	0	0	G
1094	BACHELOR OF COMMERCE: MANAGEMENT, INFORMATION SYSTEMS & TECHNOLOGY	12	UNIVERSITY OF KWAZULU-NATAL	FSB0454	0	0	G
996	BACHELOR OF COMMERCE: MANPOWER STRATEGY AND LABOUR RELATIONS	8	UNIVERSITY OF JOHANNESBURG	FSB0344	6	360	G
912	BACHELOR OF COMMERCE: MARKETING MANAGEMENT	8	UNIVERSITY OF JOHANNESBURG	73780	7	432	G
912	BACHELOR OF COMMERCE: MARKETING MANAGEMENT	76	MANAGEMENT COLLEGE OF SOUTH AFRICA (MANCOSA)	96745	7	360	G
869	BACHELOR OF COMMERCE: MARKETING MANAGEMENT	17	UNIVERSITY OF NORTH WEST	FSB0484	0	0	G
869	BACHELOR OF COMMERCE: MARKETING MANAGEMENT	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0568	0	0	G
1018	BACHELOR OF COMMERCE: MATHEMATICAL SCIENCES	10	UNIVERSITY OF STELLENBOSCH	FSB0368	1	1	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
956	BACHELOR OF COMMERCE: PHILOSOPHY, POLITICS AND ECONOMICS	9	UNIVERSITY OF CAPE TOWN	15170	7	432	G
1032	BACHELOR OF COMMERCE: RATIONUM	14	UNIVERSITY OF PORT ELIZABETH	91998	7	480	G
664	BACHELOR OF COMMERCE: RECREATION AND SPORT MANAGEMENT	5	UNIVERSITY OF PRETORIA	7103	0	0	G
664	BACHELOR OF COMMERCE: RECREATION AND SPORT MANAGEMENT	17	UNIVERSITY OF NORTH WEST	FSB0278	0	0	G
890	BACHELOR OF COMMERCE: RETAIL MANAGEMENT	1	UNISA	FSB0246	0	0	G
493	BACHELOR OF COMMERCE: RISK MANAGEMENT	1	UNISA	5563	7	384	G
934	BACHELOR OF COMMERCE: STATISTICS	5	UNIVERSITY OF PRETORIA	7109	7	410	G
1048	BACHELOR OF COMMERCE: STRATEGIC SUPPLY MANAGEMENT	1	UNISA	FSB0395	0	0	G
1120	BACHELOR OF COMMERCE: SUPPLY CHAIN MANAGEMENT	5	UNIVERSITY OF PRETORIA	FSB0476	0	0	G
619	BACHELOR OF COMMERCE: TOURISM MANAGEMENT	5	UNIVERSITY OF PRETORIA	7113	6	426	G
928	BACHELOR OF ECONOMICS	186	RHODES UNIVERSITY	7999	7	360	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1026	BACHELOR OF ECONOMICS	300	UNIVERSITY OF NAMIBIA	FSB0375	0	0	G
1065	BACHELOR OF ECONOMICS: BUSINESS SCIENCES	19	UNIVERSITY OF FORT HARE	FSB0413	0	0	G
916	BACHELOR OF FINANCE	242	LA TROBE UNIVERSITY	FSB0267	0	0	G
921	BACHELOR OF LAW (LLB)	11	UNIVERSITY OF FREE STATE	8861	8	752	G
921	BACHELOR OF LAW (LLB)	17	UNIVERSITY OF NORTH WEST	73057	7	480	G
950	BACHELOR OF LAW AND BACHELOR OF BUSINESS ADMINISTRATION: MARKETING	259	INTERDISCIPLINARY CENTER	FSB0303	0	0	G
911	BACHELOR OF LAW: B.JURIS WITH ENDORSEMENT IN FINANCIAL PLANNING	11	UNIVERSITY OF FREE STATE	8877	7	480	G
1062	BACHELOR OF LAW: CANON AND CIVIL	318	NATIONAL UNIVERSITY OF IRELAND	FSB0409	0	0	G
1231	BACHELOR OF LAWS	35	UNIVERSITY OF BRISTOL	FSB0638	0	0	G
871	BACHELOR OF LAWS	173	UNIVERSITY OF LONDON	FSB0385	0	0	G
871	BACHELOR OF LAWS	220	THE NATIONAL UNIVERSITY OF LESOTHO	FSB0226	0	0	G
871	BACHELOR OF LAWS	371	UNIVERSITY OF RHODESIA	FSB0516	0	0	G
871	BACHELOR OF LAWS	416	UNIVERSITY OF LEICESTER	FSB0618	0	0	G
677	BACHELOR OF LAWS (LLB)	1	UNISA	6009	7 4	80	G
677	BACHELOR OF LAWS (LLB)	5	UNIVERSITY OF PRETORIA	6875	6	528	G
677	BACHELOR OF LAWS (LLB)	10	UNIVERSITY OF STELLENBOSCH	7355	7	480	G
677	BACHELOR OF LAWS (LLB)	19	UNIVERSITY OF FORT HARE	15577	7	144	G
677	BACHELOR OF LAWS (LLB)	193	SGB LEGAL EDUCATION AND TRAINING	22993	7	480	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1220	BACHELOR OF LITERATURE: ENGLISH	396	ANHUI UNIVERSITY OF TECHNOLOGY	FSB0563	0	0	G
1282	BACHELOR OF MANAGEMENT SCIENCES: INTERNAL AUDITING	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	101959	8	480	G
1076	BACHELOR OF PERSONNEL LEADERSHIP	11	UNIVERSITY OF FREE STATE	FSB0432	0	0	G
1238	BACHELOR OF PUBLIC MANAGEMENT: ECONOMIC POLICY	11	UNIVERSITY OF FREE STATE	FSB0582	0	0	G
1036	BACHELOR OF SCIENCE	343	QUEEN'S UNIVERSITY BELFAST	FSB0468	0	0	G
1143	BACHELOR OF SCIENCE HONOURS: MANAGEMENT AND SYSTEMS	363	THE CITY UNIVERSITY, LONDON, SIR JOHN CASS BUSINESS SCHOOL	FSB0492	0	0	G
1233	BACHELOR OF SCIENCE IN QUANTITATIVE RISK MANAGEMENT	360	NORTH WEST UNIVERSITY	FSB0578	0	0	G
1099	BACHELOR OF SCIENCE: ACTUARIAL SCIENCE	8	UNIVERSITY OF JOHANNESBURG	FSB0459	0	0	G
1138	BACHELOR OF SCIENCE: FINANCIAL MATHEMATICS	360	NORTH WEST UNIVERSITY	FSB0487	0	0	G
1242	BACHELOR OF SCIENCE: INTERNATIONAL BUSINESS	404	UNIVERSITY OF BUCKINGHAM	FSB0585	0	0	G
1170	BACHELOR OF SCIENCE: PROPERTY STUDIES	7	UNIVERSITY OF THE WITWATERSRAND	FSB0515	0	0	G
1096	BACHELOR OF SCIENCE: AGRICULTURE	177	UNIVERSITY OF NATAL	78125	8	512	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
768	BACHELOR OF SCIENCE: APPLIED ECONOMICS	226	HOFSTRA UNIVERSITY (NEW YORK)	FSB0242	0	0	G
828	BACHELOR OF SCIENCE: BUSINESS ADMINISTRATION	401	THE GEORGIA INSTITUTE OF TECHNOLOGY	FSB0573	0	0	G
910	BACHELOR OF SCIENCE: BUSINESS ADMINISTRATION: HUMAN RESOURCE MANAGEMENT	241	CALIFORNIA STATE UNIVERSITY, HAYWARD	FSB0264	0	0	G
512	BACHELOR OF SCIENCE: INFORMATION TECHNOLOGY AND COMPUTER SCIENCE: INFORMATION TECHNOLOGY MANAGEMENT	1	UNISA	FSB0290	0	0	G
919	BACHELOR OF SCIENCE: MATHEMATICAL SCIENCE WITH ENDORSEMENT FINANCIAL MATHEMATICS	8	UNIVERSITY OF JOHANNESBURG	80374	7	360	G
1069	BACHELOR OF SCIENCE: MATHEMATICAL STATISTICS	5	UNIVERSITY OF PRETORIA	FSB0415	0	0	G
1021	BACHELOR OF SCIENCE: MATHEMATICS AND MANAGEMENT	173	UNIVERSITY OF LONDON	FSB0370	0	0	G
785	BACHELOR OF SCIENCE: OPERATIONS RESEARCH AND INFORMATION SYSTEMS	1	UNISA	6059	7	360	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1136	BACHELOR OF SCIENCE: QUANTITY SURVEYING	357	SGB QUANTITY SURVEYING	49094	7	360	G
650	BACHELOR OF SCIENCE: STATISTICS AND ECONOMICS	9	UNIVERSITY OF CAPE TOWN	FSB0372	0	0	G
1050	BACHELOR OF SOCIAL SCIENCE: ECONOMICS	9	UNIVERSITY OF CAPE TOWN	FSB0399	0	0	G
1089	BACHELOR OF SOCIAL WORK AND SOCIAL ADMINISTRATION	158	MAKERERE UNIVERSITY, UGANDA	FSB0449	0	0	G
899	BACHELOR OF TECHNOLOGY: COST AND MANAGEMENT ACCOUNTING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87079	7	480	G
899	BACHELOR OF TECHNOLOGY: COST AND MANAGEMENT ACCOUNTING	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72382	7	480	G
899	BACHELOR OF TECHNOLOGY: COST AND MANAGEMENT ACCOUNTING	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78689	7	480	G
899	BACHELOR OF TECHNOLOGY: COST AND MANAGEMENT ACCOUNTING	199	WALTER SISULU UNIVERSITY	80131	7	480	G
899	BACHELOR OF TECHNOLOGY: COST AND MANAGEMENT ACCOUNTING	279	MANGOSUTHU UNIVERSITY OF TECHNOLOGY	72278	7	480	G
1101	BACHELOR OF TECHNOLOGY: FINANCIAL INFORMATION SYSTEMS	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87086	7	480	G
1101	BACHELOR OF TECHNOLOGY: FINANCIAL INFORMATION SYSTEMS	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	65297	7	480	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1101	BACHELOR OF TECHNOLOGY: FINANCIAL INFORMATION SYSTEMS	360	NORTH WEST UNIVERSITY	87086	7	120	G
1088	BACHELOR OF TECHNOLOGY: BUSINESS ADMINISTRATION	1	UNISA	62311	7	480	G
845	BACHELOR OF TECHNOLOGY: ECONOMIC MANAGEMENT ANALYSIS	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72387	7	480	G
142	BACHELOR OF TECHNOLOGY: INTERNAL AUDITING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87093	7	480	G
142	BACHELOR OF TECHNOLOGY: INTERNAL AUDITING	86	VAAL UNIVERSITY OF TECHNOLOGY	72684	7	480	G
623	BACHELOR OF TECHNOLOGY: MANAGEMENT	1	UNISA	62335	7	480	G
1198	BETRIEBSÖKONOM FH	390	ZURCHER FACHHOCHSCHULE	FSB0546	0	0	G
614	CERTIFICATE IN SECURITIES AND INVESTMENTS	85	CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT	FSB072	0	0	G
1016	CERTIFICATE OF RDR COMPLIANT QUALIFICATIONS	85	CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT	FSB0364	0	0	G
865	CERTIFICATE: CERTIFIED ACCOUNTING TECHNICIAN	218	ASSOCIATION OF CHARTERED CERTIFIED ACCOUNTANTS	20397	5	390	G
866	CERTIFICATE: CHARTERED CERTIFIED ACCOUNTANT	218	ASSOCIATION OF CHARTERED CERTIFIED ACCOUNTANTS	63550	8	915	G

ANNEXURE 2							
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
39	CERTIFICATE: FINANCIAL PLANNING/ HIGHER CERTIFICATE: FINANCIAL PLANNING	4	MILPARK BUSINESS SCHOOL	62810	5	120	G
897	CERTIFICATE: THEORY OF ACCOUNTANCY	12	UNIVERSITY OF KWAZULU-NATAL	FSB0253	0	0	G
1270	CERTIFICATE: PROGRAMME FOR MANAGEMENT DEVELOPMENT	5	UNIVERSITY OF PRETORIA	FSB0603	0	0	G
573	CERTIFIED INTERNAL AUDITOR (CIA)	89	INSTITUTE OF INTERNAL AUDITORS	FSB083	0	0	G
412	CHARTERED FINANCIAL ANALYST (CFA)(FOREIGN QUALIFICATION)	98	CFA INSTITUTE	FSB001	0	0	G
1261	CII LEVEL 4 DIPLOMA IN FINANCIAL PLANNING (QCF)	61	CHARTERED INSURANCE INSTITUTE	FSB0598	0	0	G
1196	CII LEVEL 6 ADVANCED DIPLOMA: FINANCIAL PLANNING (QCF)	61	CHARTERED INSURANCE INSTITUTE	FSB0584	0	0	G
1271	CISI LEVEL 6 DIPLOMA: INVESTMENT COMPLIANCE	85	CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT	FSB0604	0	0	G
906	COURSE IN COMPLIANCE MANAGEMENT	9	UNIVERSITY OF CAPE TOWN	FSB0262	0	0	G
864	DEGREE OF CERTIFIED BANKING MANAGER LEVEL 2 (BANKFACHWIRT)	224	FRANKFURT SCHOOL OF MANAGEMENT(GERMANY)	FSB0234	0	0	G
1215	DIPLOMA IN COMMERCE: BUSINESS MANAGEMENT	77	INDEPENDENT INSTITUTE OF EDUCATION	84787	6	364	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
843	DIPLOMA IN MANAGEMENT STUDIES	76	MANAGEMENT COLLEGE OF SOUTH AFRICA (MANCOSA)	36084	7	240	G
1221	DIPLOMA: FINANCIAL MANAGEMENT	162	REGENT BUSINESS SCHOOL	97561	6	360	G
1052	DIPLOMA: ACCOUNTANCY	8	UNIVERSITY OF JOHANNESBURG	90506	6	368	G
1121	DIPLOMA: ACCOUNTING AND FINANCIAL COMPUTING	77	INDEPENDENT INSTITUTE OF EDUCATION	58667	5	240	G
981	DIPLOMA: ADVANCED BUSINESS MANAGEMENT: ENTERPRISE RISK MANAGEMENT	8	UNIVERSITY OF JOHANNESBURG	77044	6	240	G
228	DIPLOMA: BANKING	4	MILPARK BUSINESS SCHOOL	FSB0233	0	0	G
566	DIPLOMA: BANKING	1	UNISA	14373	6	360	G
939	DIPLOMA: FINANCIAL ACCOUNTING	47	DAMELIN	66992	6	360	G
939	DIPLOMA: FINANCIAL ACCOUNTING	339	BOSTON CITY CAMPUS	93597	6	374	G
615	DIPLOMA: FINANCIAL MANAGEMENT	138	THE CHARTERED ASSOCIATION OF CERTIFIED ACCOUNTANTS	FSB073	0	0	G
762	DIPLOMA: INVESTMENT ADVICE LEVEL 4	85	CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT	FSB0243	0	0	G
1113	DIPLOMA: MANAGEMENT	345	HENLEY MANAGEMENT COLLEGE	FSB0470	0	0	G
345	DIPLOMA: MARKETING MANAGEMENT	101	IMM GRADUATE SCHOOL OF MARKETING	79546	6	360	G
1045	DIPLOMA: MUNICIPAL MANAGEMENT	306	MOSCOW STATE HUMANITIES UNIVERSITY	FSB0393	0	0	G
1183	DIPLOME DE L'ECOLE DE MANAGEMENT LÉONARD DE VINCI	378	ÉCOLE DE MANAGEMENT LÉONARD DE VINCI (EMLV)	FSB0532	0	0	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
686	DIPLOME DE LICENCE EN ECONOMIE ET DEVELOPPEMENT	245	FACULTES CATHOLIQUES DE KINSHASA	FSB0271	0	0	G
920	DIPLOME DE LICENCE EN SCIENCES ET TECHNIQUES DE DEVELOPPEMENT	245	FACULTES CATHOLIQUES DE KINSHASA	FSB0272	0	0	G
894	DIPLOMPRUFUNG FUR KAUFLEUTE	236	UNIVERSITY OF WURZBURG	FSB0251	0	0	G
896	DOCTOR OF JURISPRUDENCE	237	STANFORD UNIVERSITY	FSB0252	0	0	G
1222	DOTTORATO IN ECONOMIA E COMMERCIO	398	UNIVERSITA DEGLI STUDI DI URBINO	FSB0565	0	0	G
1072	EXECUTIVE DEVELOPMENT PROGRAM	1	UNISA	FSB0418	0	0	G
1001	FAHIGKEITSZEUGNIS	287	KV ZURICH BUSINESS SCHOOL	FSB0349	0	0	G
469	FELLOW OF ACTUARIAL SOCIETY OF SOUTH AFRICA (FASSA)	118	ACTUARIAL SOCIETY OF SOUTH AFRICA	FSB062	8	0	G
1114	FELLOW OF THE INSTITUTE OF ACTUARIES	346	INSTITUTE AND FACULTY OF ACTUARIES	FSB0471	0	0	G
940	FURTHER DIPLOMA IN EDUCATION: COMMERCE	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	FSB0293	0	0	G
836	GRADUATE CERTIFICATE: BUSINESS MANAGEMENT "Betriebswirt VWA Dipl. - inh"	196	THE ACADEMY OF BUSINESS ADMINISTRATION AND PUBLIC MANAGEMENT SAARLAND	FSB0206	0	0	G
1210	HIGHER CERTIFICATE: ACCOUNTING	162	REGENT BUSINESS SCHOOL	73493	5	120	G
937	HIGHER CERTIFICATE: BANKING	1	UNISA	84286	5	120	G
925	HIGHER CERTIFICATE: INVESTMENT ADMINISTRATION	4	MILPARK BUSINESS SCHOOL	93949	5	120	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
842	HIGHER CERTIFICATE: WEALTH MANAGEMENT	198	PSG KONSULT LIMITED	83346	5	120	G
842	HIGHER CERTIFICATE: WEALTH MANAGEMENT	265	MOONSTONE BUSINESS SCHOOL OF EXCELLENCE (PTY) LTD	83346	5	120	G
564	HIGHER DIPLOMA IN EDUCATION - COMMERCE	10	UNIVERSITY OF STELLENBOSCH	FSB082	6	480	G
1106	ICA INTERNATIONAL DIPLOMA: ANTI MONEY LAUNDERING	116	INTERNATIONAL COMPLIANCE ASSOCIATION	FSB0464	0	0	G
1080	ICA PROFESSIONAL POSTGRADUATE DIPLOMA IN GOVERNANCE, RISK AND COMPLIANCE	327	THE UNIVERSITY OF MANCHESTER	FSB0428	0	0	G
543	ILPA	163	ILPA	FSB0119	0	0	G
159	INTERNATIONAL DIPLOMA IN COMPLIANCE	116	INTERNATIONAL COMPLIANCE ASSOCIATION	FSB010	0	0	G
1057	INVESTMENT ADMINISTRATION QUALIFICATION	316	SECURITIES INSTITUTE	FSB0406	0	0	G
1002	JURIS DOCTOR	226	HOFSTRA UNIVERSITY (NEW YORK)	FSB0350	0	0	G
1037	LICENCE EN DROIT	261	THE UNIVERSITY OF YAOUNDE II	FSB0386	0	0	G
1092	LICENTIATE DIPLOMA: TRUSTEE	3	INSTITUTE OF BANKERS	FSB0451	0	0	G
888	LICENTIATE IN BUSINESS ADMINISTRATION/ECONOMICS	225	UNIVERSITY OF ST. GALLEN	FSB0241	0	0	G
756	LICENTIATUS RERUM POLITICARUM BETRIEBSWIRTSCHAFT	247	UNIVERSITAT BERN	FSB0275	0	0	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
974	MAGISTRA DER SOZIAL-UND WIRTSCHAFTS-WISSENSCHAFTEN: SOCIAL AND ECONOMIC SCIENCE	275	UNIVERSITAT WIEN	FSB0327	0	0	G
1262	MAITRISE DE SCIENCES DE GESTION (MASTERS IN MANAGEMENT SCIENCES)	410	UNIVERSITE PARIS X NANTERRE	FSB0599	0	0	G
1070	MANAGEMENT DEVELOPMENT DIPLOMA PROGRAMME	25	NELSON MANDELA METROPOLITAN UNIVERSITY	FSB0416	6	242	G
1129	MASTER OF APPLIED FINANCE	353	MACQUARIE UNIVERSITY	FSB0482	0	0	G
995	MASTER OF ARTS	305	MCGILL UNIVERSITY	FSB0474	0	0	G
995	MASTER OF ARTS	369	WESTERN KENTUCKY UNIVERSITY	FSB0507	0	0	G
1019	MASTER OF BUSINESS ADMINISTRATION	252	REGENESYS BUSINESS SCHOOL	97886	9	225	G
1019	MASTER OF BUSINESS ADMINISTRATION	360	NORTH WEST UNIVERSITY	94938	9	210	G
931	MASTER OF BUSINESS ADMINISTRATION	22	UNIVERSITY OF ZIMBABWE	FSB0442	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	23	UNIVERSITY OF LIVERPOOL	FSB0277	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	237	STANFORD UNIVERSITY	FSB0496	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	263	UNIVERSITY OF CAMBRIDGE	FSB0435	9	180	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
931	MASTER OF BUSINESS ADMINISTRATION	277	SOUTHERN METHODIST UNIVERSITY	FSB0331	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	295	UNIVERSITY OF NAIROBI	FSB0430	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	312	VANDERBILT UNIVERSITY	FSB0402	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	320	IE BUSINESS SCHOOL	FSB0414	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	321	TEL AVIV UNIVERSITY	FSB0417	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	329	STATE UNIVERSITY OF NEW YORK	FSB0426	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	351	DE MONTFORT UNIVERSITY	FSB0481	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	372	COLUMBIA UNIVERSITY	FSB0524	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	373	UNIVERSITY OF CHICAGO	FSB0526	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	381	BUCKINGHAMSHIRE CHILTERN UNIVERSITY COLLEGE	FSB0533	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	383	BARUCH COLLEGE OF THE CITY UNIVERSITY OF NEW YORK	FSB0536	0	0	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
931	MASTER OF BUSINESS ADMINISTRATION	384	SAINT MARY'S UNIVERSITY	FSB0538	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	397	PEKING UNIVERSITY	FSB0564	0	0	G
931	MASTER OF BUSINESS ADMINISTRATION	409	BENTLEY COLLEGE	FSB0594	0	0	G
504	MASTER OF BUSINESS ADMINISTRATION	162	REGENT BUSINESS SCHOOL	73297	8	300	G
504	MASTER OF BUSINESS ADMINISTRATION	201	HENLEY BUSINESS SCHOOL	65089	8	180	G
504	MASTER OF BUSINESS ADMINISTRATION	252	REGENESYS BUSINESS SCHOOL	58185	8	240	G
504	MASTER OF BUSINESS ADMINISTRATION	310	HARVARD UNIVERSITY	96395	9	210	G
763	MASTER OF BUSINESS ADMINISTRATION (OXFORD BROOKES UNIVERSITY)	205	BOND UNIVERSITY	FSB0217	0	0	G
980	MASTER OF BUSINESS ADMINISTRATION: GENERAL	162	REGENT BUSINESS SCHOOL	73297	8	300	G
580	MASTER OF BUSINESS LEADERSHIP	1	UNISA	5789	8	360	G
193	MASTER OF BUSINESS MANAGEMENT AND ADMINISTRATION	10	UNIVERSITY OF STELLENBOSCH	19608	8	120	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1157	MASTER OF COMMERCE: FINANCIAL MANAGEMENT	9	UNIVERSITY OF CAPE TOWN	5107	9	120	G
1307	MASTER OF INTERNATIONAL BUSINESS	424	DEVI AHILYA VISHWAVIDYALAYA, INDORE	FSB0636	0	0	G
1311	MASTER OF MANAGEMENT IN FINANCE AND INVESTMENT	7	UNIVERSITY OF THE WITWATERSRAND	97752	9	190	G
589	MASTER OF SCIENCE IN INVESTMENT MANAGEMENT	87	THE CITY BUSINES SCHOOL LONDON	FSB0109	0	0	G
1079	MASTER OF SCIENCE: BUSINESS MANAGEMENT	325	EDINBURGH NAPIER UNIVERSITY	FSB0425	0	0	G
802	MASTER OF SCIENCE: FINANCIAL MANAGEMENT	173	UNIVERSITY OF LONDON	FSB0126	0	0	G
1033	MASTER OF SCIENCE: INSURANCE AND RISK MANAGEMENT	290	CITY UNIVERSITY LONDON	FSB0382	0	0	G
463	MASTER OF TECHNOLOGY: BUSINESS ADMINISTRATION	26	PORT ELIZABETH TECHNIKON	87185	8	120	G
770	MASTERS OF BUSINESS ADMINISTRATION (Heriot-Watt University)	154	HERIOT-WATT UNIVERSITY	FSB0093	0	0	G
487	NATIONAL DIPLOMA: COMMERCIAL PRACTICE	37	DURBAN UNIVERSITY OF TECHNOLOGY	72219	6	360	G
1243	NATIONAL CERTIFICATE: MARKETING	8	UNIVERSITY OF JOHANNESBURG	FSB0586	0	0	G
22	NATIONAL CERTIFICATE: WEALTH MANAGEMENT	188	SGB INSURANCE AND INVESTMENT	57608/66611	5	120	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1287	NATIONAL DIPLOMA: ENGINEERING: INDUSTRIAL	86	VAAL UNIVERSITY OF TECHNOLOGY	72728	6	360	G
120	NATIONAL DIPLOMA MARKETING AND SALES MANAGEMENT	26	PORT ELIZABETH TECHNIKON	FSB0511	0	0	G
1078	NATIONAL DIPLOMA: ENTREPRENEURSHIP	1	UNISA	FSB0423	0	0	G
1245	NATIONAL DIPLOMA: IMPORT AND EXPORT MANAGEMENT	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	FSB0587	6	360	G
1224	NATIONAL DIPLOMA: LOGISTICS	400	TECHNIKON PRETORIA	FSB0569	0	0	G
624	NATIONAL DIPLOMA: ACCOUNTING	37	DURBAN UNIVERSITY OF TECHNOLOGY	72209	6	360	G
685	NATIONAL DIPLOMA: ACCOUNTING	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72546	6	360	G
835	NATIONAL DIPLOMA: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	FSB0205	6	360	G
835	NATIONAL DIPLOMA: ACCOUNTING	8	UNIVERSITY OF JOHANNESBURG	FSB0220	0	0	G
627	NATIONAL DIPLOMA: ADMINISTRATIVE MANAGEMENT FINANCIAL	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72547	6	360	G
1086	NATIONAL DIPLOMA: ADMINISTRATIVE MANAGEMENT GENERAL	1	UNISA	62369	6	360	G
1031	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	34	TSHWANE UNIVERSITY OF TECHNOLOGY	FSB0381	0	0	G
676	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87115	6	360	G
676	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	65302	6	360	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
676	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	129	TECHNIKON SA	62379	6	360	G
253	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78620	6	360	G
253	NATIONAL DIPLOMA: COST AND MANAGEMENT ACCOUNTING	86	VAAL UNIVERSITY OF TECHNOLOGY	72723	6	360	G
581	NATIONAL DIPLOMA: CREDIT MANAGEMENT	8	UNIVERSITY OF JOHANNESBURG	74076	6	60	G
975	NATIONAL DIPLOMA: ECONOMICS	25	NELSON MANDELA METROPOLITAN UNIVERSITY	71635	6	375	G
967	NATIONAL DIPLOMA: FINANCE AND ACCOUNTING PUBLIC	1	UNISA	62391	6	360	G
967	NATIONAL DIPLOMA: FINANCE AND ACCOUNTING PUBLIC	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72584	6	360	G
987	NATIONAL DIPLOMA: FINANCE AND ACCOUNTING PUBLIC	5	UNIVERSITY OF PRETORIA	FSB0337	0	0	G
973	NATIONAL DIPLOMA: FINANCIAL INFORMATION SYSTEMS	199	WALTER SISULU UNIVERSITY	80163	6	360	G
530	NATIONAL DIPLOMA: FINANCIAL INFORMATION SYSTEMS	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87122	6	360	G
645	NATIONAL DIPLOMA: FINANCIAL INFORMATION SYSTEMS	37	DURBAN UNIVERSITY OF TECHNOLOGY	72234	6	360	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
938	NATIONAL DIPLOMA: GOVERNMENT FINANCE	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72593	6	360	G
475	NATIONAL DIPLOMA: INTERNAL AUDITING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	78303	6	360	G
475	NATIONAL DIPLOMA: INTERNAL AUDITING	34	TSHWANE UNIVERSITY OF TECHNOLOGY	72600	6	360	G
475	NATIONAL DIPLOMA: INTERNAL AUDITING	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	65327	6	360	G
178	NATIONAL DIPLOMA: INTERNAL AUDITING	68	COMMITTEE OF TECHNIKON PRINCIPALS	2165	6	360	G
924	NATIONAL DIPLOMA: MANAGEMENT	1	UNISA	62401	6	360	G
924	NATIONAL DIPLOMA: MANAGEMENT	25	NELSON MANDELA METROPOLITAN UNIVERSITY	87130	6	360	G
924	NATIONAL DIPLOMA: MANAGEMENT	34	TSHWANE UNIVERSITY OF TECHNOLOGY	48640	6	360	G
725	NATIONAL DIPLOMA: MARKETING	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78649	6	360	G
594	NATIONAL DIPLOMA: RETAIL BUSINESS MANAGEMENT	36	CAPE PENINSULA UNIVERSITY TECHNOLOGY	78666	6	360	G
578	NATIONAL DIPLOMA: TAXATION	37	DURBAN UNIVERSITY OF TECHNOLOGY	72265	6	360	G
1158	NATIONAL HIGHER CERTIFICATE: ACCOUNTANCY	8	UNIVERSITY OF JOHANNESBURG	FSB0509	0	0	G
1281	NATIONAL HIGHER CERTIFICATE: ACCOUNTING	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	101939	5	264	G

ANNEXURE 2
QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS

No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
926	NATIONAL HIGHER CERTIFICATE: ACCOUNTANCY	199	WALTER SISULU UNIVERSITY	80183	6	240	G
941	NATIONAL HIGHER CERTIFICATE: FINANCIAL INFORMATION SYSTEMS	72	CENTRAL UNIVERSITY OF TECHNOLOGY FREE STATE	102020	5	240	G
753	NATIONAL HIGHER CERTIFICATE: FINANCIAL INFORMATION SYSTEMS	199	WALTER SISULU UNIVERSITY	80184	6	240	G
1285	NATIONAL HIGHER DIPLOMA COST ACCOUNTING	400	TECHNIKON PRETORIA	FSB0616	7	0	G
1131	OCCUPATIONAL CERTIFICATE: COMPLIANCE OFFICER	354	COMPLIANCE INSTITUTE	91671	6	240	G
606	POSTGRADUATE DIPLOMA IN FINANCIAL PLANNING	4	MILPARK BUSINESS SCHOOL	76943	8	160	G
606	POSTGRADUATE DIPLOMA IN FINANCIAL PLANNING	12	UNIVERSITY OF KWAZULU-NATAL	98919	8	128	G
606	POSTGRADUATE DIPLOMA IN FINANCIAL PLANNING	15	UNIVERSITY OF WESTERN CAPE	94571	8	120	G
1312	POSTGRADUATE DIPLOMA IN INVESTMENT MANAGEMENT	382	MILPARK EDUCATION	94678	8	120	G
970	POSTGRADUATE DIPLOMA: BUSINESS MANAGEMENT	252	REGENESYS BUSINESS SCHOOL	84066	8	120	G
1148	POSTGRADUATE DIPLOMA: CHARTERED ACCOUNTANCY	11	UNIVERSITY OF FREE STATE	97681	8	120	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1166	POSTGRADUATE DIPLOMA: EMPLOYEE BENEFITS	11	UNIVERSITY OF FREE STATE	93929	8	120	G
1163	POSTGRADUATE DIPLOMA: ESTATE PLANNING	11	UNIVERSITY OF FREE STATE	96459	8	120	G
1150	POSTGRADUATE DIPLOMA: GENERAL ACCOUNTANCY	11	UNIVERSITY OF FREE STATE	97843	8	128	G
1217	POSTGRADUATE DIPLOMA: INTERNAL AUDITING	385	NELSON MANDELA UNIVERSITY	84146	8	120	G
1162	POSTGRADUATE DIPLOMA: INVESTMENT PLANNING	11	UNIVERSITY OF FREE STATE	93909	8	120	G
1161	POSTGRADUATE DIPLOMA: PERSONAL FINANCIAL RISK MANAGEMENT	11	UNIVERSITY OF FREE STATE	97689	8	120	G
971	POSTGRADUATE DIPLOMA: PROJECT MANAGEMENT	76	MANAGEMENT COLLEGE OF SOUTH AFRICA (MANCOSA)	62110	8	120	G
1149	POSTGRADUATE DIPLOMA: TAX STRATEGY AND MANAGEMENT	11	UNIVERSITY OF FREE STATE	62909	8	124	G
171	POSTGRADUATE DIPLOMA: ACCOUNTING	15	UNIVERSITY OF WESTERN CAPE	96614	0	0	G
943	POSTGRADUATE DIPLOMA: BANKING	4	MILPARK BUSINESS SCHOOL	93608	8	120	G
764	POSTGRADUATE DIPLOMA: BUSINESS ADMINISTRATION	9	UNIVERSITY OF CAPE TOWN	66517	8	120	G
764	POSTGRADUATE DIPLOMA: BUSINESS ADMINISTRATION	11	UNIVERSITY OF FREE STATE	97200	8	136	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
1000	POSTGRADUATE DIPLOMA: BUSINESS ADMINISTRATION	285	ICFAIAN BUSINESS SCHOOL	FSB0347	0	0	G
700	POSTGRADUATE DIPLOMA: COMPLIANCE	8	UNIVERSITY OF JOHANNESBURG	FSB0249	0	0	G
334	POSTGRADUATE DIPLOMA: FINANCIAL PLANNING	11	UNIVERSITY OF FREE STATE	48866	7	160	G
334	POSTGRADUATE DIPLOMA: FINANCIAL PLANNING	25	NELSON MANDELA METROPOLITAN UNIVERSITY	66096	7	120	G
498	POSTGRADUATE DIPLOMA: RISK MANAGEMENT	1	UNISA	79926	8	120	G
1046	POSTGRADUATE DIPLOMA: SMALL ENTERPRISE CONSULTING	307	TSIBA	90822	8	120	G
443	PROFESSIONAL ADVANCED QUALIFICATION: GOVERNANCE AND ADMINISTRATION	90	CHARTERED SECRETARIES SOUTHERN AFRICA	60655	6	120	G
341	PROFESSIONAL POSTGRADUATE QUALIFICATION: COMPANY SECRETARIAL AND GOVERNANCE PRACTICE	207	GENERAL SGB 03	60654	7	120	G
813	PROGRAMME IN ADVANCED BANK MANAGEMENT	1	UNISA	FSB0181	7	96	G
891	PROGRAMME IN FINANCIAL MANAGEMENT	1	UNISA	FSB0297	0	0	G

ANNEXURE 2 QUALIFICATIONS RECOGNISED FOR COMPLIANCE OFFICERS							
No	Qualification title	Inst No	Institution	SAQA ID	Level	Credits	Recognition
93	PROGRAMME IN RISK MANAGEMENT	1	UNISA	75949	6	108	G
293	REGISTERED PERSONS EXAM: EQUITY MARKET	51	SOUTH AFRICAN INSTITUTE OF FINANCIAL MARKETS (SAIFM)	FSB030	6	168	G
942	SOUTH AFRICAN INSTITUTE OF STOCKBROKERS MEMBERSHIP EXAMINATIONS	120	SOUTH AFRICAN INSTITUTE OF STOCKBROKERS	FSB0296	0	0	G
1155	ZWEITE JURISTISCHE STAATSPRÜFUNG	366	LANDESJUSTIZPRÜFUNGSAMT IN NORDRHEINWESTFALEN	FSB0504	0	0	G

(Annexure 2 inserted by BN 136 of 2012)

(Annexure 2 substituted by BN 269 of 2013)

(Annexure 2 substituted by BN 77 of 2015)

(Annexure 2 amended by BN 51 of 2017)

(Annexure 2 substituted by paragraph 4 of GN 2815 dated 2 December 2022)

ANNEXURE 3
APPROPRIATE SUBJECT LIST

COMPLIANCE OFFICERS

Accounting	Equity/ Equities	Mercantile Law
Advanced Investment Advice	Equity Investments	Micro-economics
Anti-money laundering laws and regulations	Equities Settlement	Money Laundering Control
Anti-terrorist finance laws and regulations	Estate and Trust Law	Money laundering schemes
Asset Classes & Basic Investment Principles	Estate Planning	Money Market
Auditing	Ethics	Money Market Settlement
Auditing and Internal Control	Finance	Network Administration
Authorisations and Approvals (Trading)	Finance for Non-Financial Managers	Operational Risk Management
Banking	Financial Accounting	Payment of Entitlement
Banking Operations	Financial Advice	Performance and Risk Strategy
Basic Economic Principles	Financial Analysis	Personal Financial Planning
Behavioural Finance & Economics	Financial Calculations	Personal Insurance Products and Practice
Business Economics	Financial Crime	Portfolio Management
Bond and stock markets	Financial Crime Prevention	Practical Accounting Data Processing
Blockchain	Financial Engineering	Primary, secondary and wholesale markets

Prepared by:

ANNEXURE 3 APPROPRIATE SUBJECT LIST		
COMPLIANCE OFFICERS		
Bonds	Financial Governance	Principles of Crime Prevention, Reduction and Control
Bonds Settlement	Financial Management	Principles of Ethics in a Business Environment
Business Administration	Financial Market Operations	Principles of Insurance
Business Assurance	Financial Market Regulatory Environment	Principles of Life Insurance
Business Economics	Financial Markets	Principles of Strategy, Risk & Financial Management
Business Entities	Financial Operations	Principles of Taxation
Business Environment	Financial Planning	Process Management (Process Modelling and Control)
Business Ethics	Financial Planning Principles	Production Management
Business Finance	Financial Reporting	Prudential Requirements
Business Information Systems	Financial Services Industry	Quality Control in Call Centres
Business Insurance	Financial Services Operations	Quantitative Finance
Business Integration	Financial Statements	Quantitative Techniques
Business Management	Forex Exposure Management	Quantitative Investment Analysis
Business Management & Financial Risk Assessment	Fraud Risk Management	Regulatory Environment
Business-To-Business Marketing	Fundamentals of Financial Services	Retirement Finance

ANNEXURE 3 APPROPRIATE SUBJECT LIST		
COMPLIANCE OFFICERS		
Call Centre Management	General Management	Responsibilities of Financial Institutions
Capital Market Frameworks and Concepts	Global Business Environment	Responsibilities of the regulatory authorities
Claims Management	Governance, Risk and Compliance Management	Retirement Planning
Client/Customer Services	Group Retirement Benefits	Retirement Related Legislation
Collateral Management	Health Benefits/Health Care Benefits	Retirement Wealth Preservation
Collective Investment Scheme Product Solutions	Independent audits and reviews	Risk Financing
Commercial Insurance Products and Practice	Informatics	Risk Management
Commercial Law	Information Technology Architecture	Risk Management and Insurance
Companies Law	Information Technology Enterprise	Securities Markets
Complaints and Disputes	Investigation Methodology	Settlement (Finance)
Compliance Function	Insurance	Small Business Management
Compliance Legislation	Insurance & Risk Management	South African Financial System
Compliance Management	Interest-Bearing Investment	STRATE
Compliance Principles	International Finance	Strategic Communication Management Skills
Computer Architecture	International Trade	Strategic Management

ANNEXURE 3 APPROPRIATE SUBJECT LIST		
COMPLIANCE OFFICERS		
Conduct of Business (Regulation)	Interpretation of Statutes	Strategy
Corporate Finance	Introduction to The Financial Markets	Structured Systems Analysis and Design
Corporate Financial Planning	Introductory Financial Accounting	Supervision and Enforcement
Corporate Governance	Investment Management	Tax/taxation
Corporate Law	Investment Planning	Techniques
Cost Accounting	Investor Psychology	The Bond Market
Cost and Financial Management	Law of Contract or Delict	The Derivatives Market
Costing and Estimating	Law of Succession	The Equity Market
Creation of Wealth	Legal Environment	The Regulation and Ethics of The South African Financial Markets
Credit Risk Management	Legislative Impact on Financial Advisors/ Planners	The South African Foreign Exchange Market
Crime Risk Perspectives	Long-Term Product Solutions	The South African Money Market
Crypto Banking	Management	Trading on the Exchange
Crypto Currency	Managing Client Assets	Treasury Management
Debt Instrument Solutions	Managing Regulatory Risk	Terrorist Sanctions
Descriptive Statistic and Probability	Marketing	Trustee management
E-Commerce in Business	Market Conduct	Wealth Creation
Econometrics	Market Risk Management	Wealth Management

ANNEXURE 3		
APPROPRIATE SUBJECT LIST		
COMPLIANCE OFFICERS		
Economic Crime Schemes	Mathematical Analysis	
Economics/ Macro Economics/ Micro Economics	Mathematical Statistics	
Employee Benefits	Mathematics	
Enterprise Risk Management	Mathematics for Finance and Business	
Entrepreneurship	Medical Schemes	

(Annexure 3 inserted by paragraph 5 of GN 2815 dated 2 December 2022)