



FAIS NOTICE 16 OF 2018

FINANCIAL SERVICES BOARD

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002

EXEMPTION OF LEWIS STORES (PTY) LTD AND ITS REPRESENTATIVES, 2018 (FSP No. 2815)

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



CD da Silva

Deputy Registrar of Financial Services Providers

SCHEDULE

EXEMPTION OF LEWIS STORES (PTY) LTD AND ITS REPRESENTATIVES, 2018 (FSP No. 2815)

Definitions

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

"2008 Determination" means the Determination of Fit and Proper Requirements for Financial Services Providers, 2008, published by Board Notice 106 of 2008 in Government Gazette No. 31514 on 15 October 2008;

"2017 Determination" 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;

“bridging programme” means an Adult Educational Training programme registered by the South African Qualifications Authority;

“Category I” or “Category I FSP” has the meaning assigned to it in section 1(1) of the 2008 Determination or in section 3(a) of the 2017 Determination respectively;

“FSP” means a financial services provider as defined in section 1(1) of the Act;

“General Code of Conduct” means the General Code of Conduct for Authorised Financial Services Providers and Representatives, 2003;

“Lewis” means Lewis Stores (Pty) Ltd, an authorised Category I FSP;

“Lewis representative” means a person referred to in Table A and Table B in Annexure A that is appointed as a representative of Lewis to render a specific financial service only;

“Long-term Insurance Category B1-A” has the meaning assigned to it in section 1 of the 2017 Determination;

“Notice on Exemption of Services under Supervision” means the Notice on Exemption of Services under Supervision in terms of Requirements and Conditions, 2008, published by Board Notice 104 of 2008 (as amended) in *Gazette* No. 31514 of 15 October 2008, as amended from time to time;

“particular financial product” means the financial products: Long-term Insurance Category B1-A and/or Short-term Insurance Personal Lines A1;

“Short-term Insurance Personal Lines A1” has the meaning assigned to it in section 1 of the 2017 Determination;

“specific financial service” means an intermediary service rendered on instruction of a client to buy, sell, deal, invest or disinvest in, replace or vary a particular financial product-

- (a) in accordance with a script approved by a key individual and the relevant governance structure of Lewis; and
- (b) under the direct oversight of a key individual who, in relation to the particular financial products, has the skill, knowledge and expertise needed for the proper discharge of the key individual’s responsibilities in the performance of his or her functions.

Extent, duration and conditions of Exemption

2. (1) A Lewis representative who renders a specific financial service is exempted until **30 June 2022** from-
 - (a) sections 10 and 3(7) read with section 5(4) of the 2008 Determination, insofar it relates to the qualification requirements; and
 - (b) section 22(b)(ii)(aa) of the 2017 Determination.
- (2) The exemption referred to in subsection (1) is subject to the following conditions:
 - (a) a Lewis representative must-
 - (i) if listed in Table A, have completed a Grade 8 or an academic achievement equivalent to Grade 8;
 - (ii) if listed in Table B, have completed Grade 10 or an academic achievement equivalent to Grade 10;
 - (iii) on or before **30 April 2018** enrol to complete a bridging programme;

- (iv) on or before **30 June 2019** enrol to complete a Grade 12 National Certificate or an equivalent qualification;
 - (v) for the duration of the exemption render the specific financial service under supervision as contemplated in the Notice on Exemption of Services under Supervision and comply with the requirements and conditions of that Notice, except the requirement referred to in section 3(b)(i) thereof;
 - (vi) comply with section 5(g) and, where applicable, section 15(6) of the General Code of Conduct insofar it relates to the disclosure of the exemption referred to in subparagraph (1); and
 - (vii) not become the subject of a decision as contemplated in sections 14(1) or 14A of the Act whereby the Lewis representative is debarred.
- (b) Lewis must-
- (i) in the format prescribed by the Registrar, provide to the Registrar-
 - (aa) on or before **7 May 2018**, the names of the Lewis representatives who have not complied with the condition referred to in subparagraph (a)(iii);
 - (bb) on or before **7 July 2019**, the names of the Lewis representatives who have not complied with the condition referred to in subparagraph (a)(iv);
 - (cc) on a quarterly basis, commencing on 1 March 2018, and within 14 days after quarter-end, the names of the Lewis representatives who have ceased to be representatives of Lewis; and
 - (dd) **annually by 31 January of each respective year**, a report on the progress of the Lewis representatives towards the completion of the bridging programme and/or the Grade 12 National Certificate or an equivalent qualification, as applicable;
 - (ii) where the specific financial service is performed by telephone, record all conversations and ensure that the recordings are stored and retrievable;
 - (iii) have sufficient and adequate controls in place to ensure and to monitor that the-
 - (aa) Lewis representatives comply with the conditions in subparagraphs (a)(iii), (iv), (v) and (vi);
 - (bb) Lewis representatives do not render financial services other than a specific financial service and in accordance with a script as contemplated in paragraph (a) of the definition of "specific financial service"; and
 - (cc) sales practices and techniques employed by the Lewis representatives are not misleading, false, inappropriate to the expected target clients or will not result in unfair outcomes for clients;
 - (iv) on a regular basis-
 - (aa) review the recordings referred to in paragraph (ii) and/or monitor the Lewis representatives to ensure that they do not deviate from the script or supplement the script with content not approved as contemplated in paragraph (a) of the definition of specific financial service;
 - (bb) review and monitor the adequacy and efficiency of its controls and quality assurance processes in relation to the rendering of the specific financial service; and
 - (cc) review the script for appropriateness and compliance with applicable legislation;
 - (v) immediately inform the Registrar of any matter that may impact on the Lewis representatives' ability to comply with the qualification requirements on expiry of the exemption; and
 - (vi) immediately advise the Registrar of any change to the particulars furnished in and relating to its application for exemption.

- (3) The exemption referred to in subparagraph (1) only applies to a Lewis representative that renders a specific financial service and who complies with the conditions referred to in subparagraph (2)(a).
- (4) Failure by-
 - (a) a Lewis representative to comply with any condition referred to in subparagraph (2)(a) will automatically result in the exemption no longer applying to that Lewis representative; and
 - (b) Lewis to comply with any of the requirements referred to in subparagraph (2)(b) will automatically result in the lapsing of this exemption.

Amendment and withdrawal of Exemption

- (c) This Exemption is subject to-
 - (a) amendment thereof published by the Registrar by notice on the official web site of the Financial Services Board; and
 - (b) withdrawal in like manner.

Short title and commencement

- (d) This Exemption is called the Exemption of Lewis Stores (Pty) Ltd and its Representatives, 2018, and comes into operation on 9 March 2018.

DATE OF NOTICE: 9 MARCH 2018

ANNEXURE A

TABLE A	
NO	APPLICANT
1.	CHRUZETTA DEVOLINE CAMPHER
2.	GALEBOE GIRLY MOSITO
3.	JOAN STEPHANIE MAY
4.	JUAN BENSON
5.	LEONORE LUPAGE SAMPSON
6.	MARISCA LUITERS
7.	MMATSHOLO ELIZABETH TSHENYE
8.	MOSES MOHUBA
9.	MOSIUOA KGALE SOPHONIA RANTSIENG
10.	OSINOGENG PIET SHEBI
11.	REENA REDDY
12.	SHANE ERNESTEN DAISEMAN
13.	SYLVIA MMAMADI SELEMELA

ANNEXURE A

TABLE B					
NO	APPLICANT		NO	APPLICANT	
1.	ABIOT MABESELA KWAKWA		160.	MARGERIE WILLIAMS	
2.	ABONGILE DLIKILILI		161.	MARIA ELIZABETH NAUDE	
3.	ADRIANA KAPP		162.	MARIA MAGDALENA BARNARD	
4.	AFRIKA OLIFANT		163.	MARIA MANEKEDI LEKONYANE	
5.	ALBERTHA PRINCE		164.	MARIAM MALINDI DIGASHU	
6.	ALETTA JOHANNA NEETHLING		165.	MARINDA SUSAN SCHOEMAN	
7.	ALFREDA MERLE WILLIAMS		166.	MARIUS AUGUSTUS PERRINS	
8.	ALIE RAWOOT		167.	MAROPENG HELLEN MATLAKANE	
9.	ALLEN ACKERMAN		168.	MARTH TANDISWA PRECIOUS DOUW	
10.	ALPHONCINA MOFOKENG		169.	MARTHA ELIZABETH CLAASSEN	
11.	AMANDA ELIZE KIVITTS		170.	MARTHA POTGIETER	
12.	AMANDA VIVIERS		171.	MASEBANYISI MAPHANGA	
13.	AMERENTSHIA HOPE OOSTHUISEN		172.	MATLAKALA JOHANNA GANDA	
14.	ANNA LEANER		173.	MEGAN LOUISE DELPORT	
15.	ANNASTATIA GAIL DAWN DUNN		174.	MERENCIA LINDY LAWRENCE	
16.	ANNIE MAGRIETA CLOETE		175.	MILDRED MONICA SUSAN FRITZ	
17.	ANTOINETTE NONHLANHLA NCONGWANE		176.	MIRRIAM SIBONGILE DOTHLI	
18.	ARINA RALL		177.	MISHACK MASEMOLA	
19.	AUDRIE CHARLOTTE RABIE		178.	MITA MOLETE	
20.	AUGUSTA VERONIA CHARLOTTE WENTZEL		179.	MMAKATE NORAH MOLESHEWA	
21.	BELINDA SHEILA BUSH		180.	MMAPETSE EMILY NGWANE	
22.	BITSANG GLADYS YOSE		181.	MMAPULA SOPHIAH MOKWENA	
23.	BONGANI ANTONY NDI MANDE		182.	MMAPULA TINNY MOLOATSE	
24.	BONIQUE ESTERHUIZEN		183.	MMASECHABA NANCY MAREKA	
25.	BRENDEN LE ROUX		184.	MMATLOU ANNA MAKGAGA	
26.	CANDICE RONELLE MOONSAMY		185.	MMATSHEKO ONICA MASANGO	
27.	CARMEN AZIZA VILJOEN		186.	MODIEHI DOROTHY MOTLOUNG	
28.	CARMENITA FLAVIA BROWN		187.	MODISAWAMAROE THERESA MAGWACA	
29.	CATHARINA ELIZABETH VAN STADEN		188.	MOGAMAT EREFAAN CASSIEM	
30.	CELIWE FAITHFUL MADONSELA		189.	MOGAMAT TOYER DAVIDS	
31.	CHANTEL NKUTHA		190.	MOHLAGO REBECCA MOKHUBEDU	
32.	CHARLOTTE MARIA DIPPENAAR		191.	MOHLOLO CHARLES RAMALEFANE	
33.	CHARLOTTE NICHOL		192.	MOIRA CHERILINN DAVIDS	
34.	CHARMAINE BARANIECE FERRIS		193.	MOITHERI ELIZABETH SEBOLANE	

TABLE B

NO	APPLICANT	NO	APPLICANT
35.	CHARMAINE LYNNE MULLER	194.	MOLEBOHENG DORCAS NTLANE
36.	CHARMAINE MARLENE COETZEE	195.	MOLIFI MICHAEL SESHEA
37.	CHARMAINE URSULA BUCKLEY	196.	MOLOKO VICTOR MAKGATO
38.	CHERYL ANN FREITAG	197.	MONICA SEPTEMBER
39.	CHRISTINE AMELIA VAN DER LINDE	198.	MOONIAMAH RAMSINGH
40.	CLODINE DAVIDS	199.	MOSIMANEGAPE GEORGE WITBOOI
41.	COUNCIL CASTLE MGIBA	200.	MOTLAEPULE QUEEN THUNTSI
42.	CRISTAL RAHCEL PETERSEN	201.	MOTSEKUWA CONTSTANCE MOKOENA
43.	DEIDRE COLTMAN	202.	MPHALLOE ALFRED MOSHITO
44.	DELICIA MEREDITH KIEWIET	203.	MPHETENG ELIZABETH MPAMBANI
45.	DEMINA NNANA MSIMANGO	204.	MPUTHUMI TAFANE
46.	DENISE YVONNE SWARTS	205.	MURIEL ELSIE VAN WYK
47.	DEON LEONE NKUNA	206.	MUSIWALO GRACE TSHISIKULE
48.	DIANE PILLAY	207.	MXOLISI JACOB DHLADHLA
49.	DIKWEKWE DAVID TOLO	208.	NADIA NELSON
50.	DIMAKATJO DOROTHY KOKO	209.	NASREEN SALIE
51.	DIMAKATSO AMELA OLIFANT	210.	NATASHA JILL WILSON
52.	DINA DICK	211.	NELISWA CYNTHIA MTUBATSI
53.	DINEO LUCIA MOLOI	212.	NHLALUKWANA NTULI
54.	DIPUO JOSEPHINE LETSHOLO	213.	NICHOLAS BONGANI MFEKA
55.	DORAH MATSHEDISO MFULA	214.	NKOSINATHI MAGAGULA
56.	DOREEN TERBLANCHE	215.	NOAH MICHEAL NDHLOVU
57.	DORINA WILHEMINA SIBANDA	216.	NOCWE PAULINE NJILANA
58.	DUDU GOODNESS ZULU	217.	NOKUTHULA SIBANYONI
59.	EBEN JOSEF PRINS	218.	NOKWAYINTOMBI MAHLATI
60.	EDITH MGDALENE PROUDFOOT	219.	NOLUBABALO BEAUTY NDAMASE
61.	EDWARD BENTLY BARNES	220.	NOLUYOLO BAMBALAZA
62.	ELEANOR CAROL OCTOBER	221.	NOMASONGO CONSTANCE MOFOKENG
63.	ELIOT SKHUMBUZO JALI	222.	NOMPUMELELO ANGELINE MASEKO
64.	ELIZABETH ELIZA NKOTWANA DLAMINI	223.	NOMTHANDAZO LUCY NKOMANA
65.	ELIZABETH GERTRUIDA VORSTER	224.	NOMVHULA JULIET MASHELE
66.	ELIZABETH MAPULE MASIKE	225.	NONCEBA MANYANA
67.	ELIZABETH MARIA DAYA	226.	NONTLANTLA CYNTHIA MOKOENA
68.	ELLA MARIAN MGRIETA VAN WYK	227.	NONZWAKAZI JUDITH BOTHA
69.	ELLEN JORINA TATAS	228.	NTANDO KENNEDY DLAMINI

TABLE B

NO	APPLICANT	NO	APPLICANT
70.	ELRICH PERCIVAL JOROME MILES	229.	NTAOLENG REBECCA MOTEPE
71.	ESTIE WILHELMINA VAN ZYL	230.	NTELE FRANS MALEMA
72.	EUGENE EUNICE ADAMS	231.	NTOMBI MARIA RADEBE
73.	EVELYN MARY ANN TYERS	232.	NTOMBI MAVIS MTHETHWA
74.	EVERYL LEVONA STRAUSS	233.	NTOMBIZANELE INNOCENTIA NAZO
75.	FANIE THEMBA SKOSANA	234.	NTSHINGILA HATWORTH MNDEBELE
76.	FATIMA DAVIDS	235.	OLGA MPHOKO MAAKE
77.	FELICIA CHRISTINE MICHAELS	236.	OMMY KELETSO SEERANE
78.	FLORENCE MASERAME MONYATSI	237.	PAMELA BERNICE GOVENDER
79.	FOZIA ORRIE	238.	PARTNERS SELOLO MOTHOGOANE
80.	FRANCES ADAMS	239.	PATRICIA BUYISELO
81.	FRANCINA NOKWAKHA PONTSO NJADU	240.	PATRICIA FLORENCE DAMONS
82.	FRANSES JABHI DHLAMINI	241.	PATRICIA NOMVULA YENDE
83.	FUMANE MARTHA LESHAGE	242.	PATRICK TEMBA MAHLANGU
84.	GADIFELE MARGARET MAGANO	243.	PAULINE HARRY
85.	GALEADINGWE PAULINAH SELEKE	244.	PEARL MARSHA MARY COOMBS
86.	GAYNOR SAHNNON GILL	245.	PETRA PETERSEN
87.	GEORGE KEALEBOGA BODUMELE	246.	PETUNIA LESEGO AGNES RAPOO
88.	GERTRUIDA JACOBA SWART	247.	PHETRIC SIHLE GUMEDE
89.	GRACE RAMADIMETSA MASETLOA	248.	PHOKWANE JACOB MAKUNYANE
90.	GUGULETHU LINDIWE SHAMASE	249.	PONALO LUCIOUS MAHAPE
91.	HANNELIE JOAN FISH	250.	PORTIA NOZIPHO MAKAMO
92.	HANS JOHANNES SAAYMAN	251.	QUEENIE THOMPSON
93.	HENDRY ANDRIES THABETHE	252.	RACHEL JENIOHER POPPIE LOUW
94.	HENRIETTA ALFESTUS	253.	RASHIEDA DOLLIE
95.	HENTJIE MORNE VIJJOEN	254.	REGINA FIKILE MDAKANE
96.	HESTER CROUSE	255.	REGINALD WINSTON LINDOOR
97.	HILDA BERNADETTE VALENTINE	256.	RENALDO NATHAN LEFEMBER
98.	HILDA THELELE	257.	RICHARD MATIWANA
99.	HLANGANINI HENRY MZAYIYA	258.	ROSINA TLOU MADIBA
100.	IRENE ANN SCHENK	259.	ROSLYN ANNE MARE FRANSMAN
101.	JACOBUS MOOLMAN	260.	ROXANNE NATASHA UYS
102.	JAMES RAMAUBE	261.	SAKEENA PETERS
103.	JANETTE PETRONELLA BRIEL	262.	SANDRA SINOVIA LEEUW
104.	JANICE ANN ALEXANDER	263.	SANTU JACOB MOTLALI

TABLE B					
NO	APPLICANT		NO	APPLICANT	
105.	JEANNIE MITCHELL		264.	SARAH MAPULE MABOTE	
106.	JENNIFER BERNADETTE MANNESON		265.	SEKAMELO WILHEMINAH KOITHENG	
107.	JENNIFER MAGARET MBELE		266.	SERREEN JANINE MCKRIEL	
108.	JENNY STOFFELS		267.	SESINYANA JULIA MAZIBUKO	
109.	JO ANN ESENE CLAASEN		268.	SHAMA BECHOO	
110.	JOHANNA HELANA BEZUIDENHOUT		269.	SHAMELLA RAMBALLY	
111.	JOHANNA MAGDLENA LEWIS		270.	SHARIEFA JOOSTE	
112.	JOHANNES GABI MAPHUNYE		271.	SHATIWE LETTA MATOLWENI	
113.	JOHN GEVEN ABRAHAMS		272.	SIBONGILE MAGARET MADAYI	
114.	JOHN THEMBA MKHIZE		273.	SINAZO KALASE	
115.	JOSELINE CATHERINA MURPHY		274.	SIPHIWE BLESSING MHLONGO	
116.	JOSEPHINE COUNTER		275.	SONGEZWA VUNTU	
117.	JOYCE NTHABISENG RADEBE		276.	SONJA VLOK	
118.	JOYCE VORGINIA LETSELE		277.	SPIIWE SIBUSISO MAPHALALA	
119.	JUDITH JEANETTE STRYDOM		278.	STEVE KEKANA	
120.	JULIA PINKY TEMELE		279.	TALITA JONAS	
121.	KASHIEFA LOUW		280.	TALITAH MOKOENA	
122.	KATE THANDI NDLOVU		281.	TAMLYNE RENE KOOPMAN	
123.	KEDIBONE ELISA SELEMELA		282.	TEBOGO ISHMAEL MOLEFE	
124.	KEDISALETSE LILLIAN MOKELE		283.	TEBOGO PORTIA SELEMELA	
125.	KELEBOGILE CHRISTINA PILE		284.	TERSIA MAY	
126.	KELEBOGILE DINAH MOTSHABI		285.	THANDAZILE SAMARIA NKAMBULE	
127.	KHOPIISO JULIA PALO		286.	THEMBI MAHLANGU	
128.	KLEINROSE CHUBA MABELANE		287.	THEMBISILE BEAUTY MTHOMBENI	
129.	LANCE REUBEN HENRY		288.	THEO VAN WYK	
130.	LANDUMUTHI SOLOMON MLAMBO		289.	THERESA FRANCINA GELDENHUYS	
131.	LEBOGANG FLORENCE SELLO		290.	THIRUVASAGIE GOVENDER	
132.	LEE-ANN EDNA SMITH		291.	THOLAKELE DOROTHY KHUMALO	
133.	LELANIE BIANCA DICK		292.	TONKEN SALOME POLE	
134.	LENAH PULENG SEBILOANE		293.	TSHAWAHLAKGE PATRICK MAILA	
135.	LESLIE SIPHIWE NKOSI		294.	TYELOVUYO VIKI	
136.	LIDA MARIE RHEEDERS		295.	UNATHI KANAFANA	
137.	LIEKETSENE MANEO MAKARA		296.	URSULA LUCILLA MARKGRAAFF	
138.	LILIAN GALE ETON		297.	URSULA TRACY MCANDA	
139.	LINDIWE JEMINAH BHEMBE		298.	VELI WILLIAM MALOBOLA	

TABLE B					
NO	APPLICANT		NO	APPLICANT	
140.	LORAINÉ DU TOIT		299.	VERONICA FULLER	
141.	LOTTIE PADI		300.	VINESH BODASING	
142.	LUCKY CHRISTINAH TSELE		301.	VIOLET BEATRICE KOORBANALLY	
143.	LUZETTE RODRICKA CLARA MAJIEK		302.	VIVIAN LIZZET CORDOM	
144.	MABONTLE ROSE MOKOENA		303.	VUYISWA GLADYS NOMYAYA	
145.	MADELYN BEKKER		304.	WENDY GRAE BOOYSEN	
146.	MAGANONG ANNA NTSOLLANE		305.	WENDY KRISHNAVANEE RAMDIN	
147.	MAGASE KENNETH MMOLA		306.	WILMA ABRAHAMA JACOBS	
148.	MAGDALENA MAGRITHA CATHARINA HENDRIKS		307.	XHOLISWA ZONDI	
149.	MAGDALENA MARGARETTE OLIVIER		308.	XOLISWA LUARINDA XINZELELE	
150.	MAGDELINE ELLA NTSOENG		309.	YOLANDER CRYSTELLE VAN WYK	
151.	MAGRIET BUYS		310.	YVONNE SHEREE BAKER	
152.	MAGRIETA BARRYLOUW		311.	ZAKIRA PRINSLOO	
153.	MAHLEHLE JOSEPH MOLETSANE		312.	ZANELE CHANTEL ANGUS	
154.	MALITABA ESTHER MAZIBUKO		313.	ZANELE SAMKELISIWE GUMEDE	
155.	MALOSE ANANIAS MADIBELA		314.	ZINDELEKILE NDILEKA NDELAPHI	
156.	MAMOHAPI MARIA TLHATSI		315.	ZITA MARGARETHA CAROLUS	
157.	MANKOTO LAURA MADIGA		316.	ZODWA ANNAH THWALA	
158.	MARCHELL FOURIE		317.	ZOLEKA SALENI	
159.	MARCIA JOYCELYNN CANHAM		318.	ZOLEKA VERONICA TAPI	