

Siza Mpela Business Architects cc.
Trading Department
Daily Turnover (DT)/NDA/Personal & Business
Details/Stock Agreement/ Banking Details and Declaration
For:

www.smba.co.za/

Email to: info@smba.co.za/ **or** dntobeng@smba.co.za

INVEST IN EGGS:

www.smba.co.za

info@smba.co.za

Date: 28/05/2024

Terms and Conditions Apply:

Please consider the terms and condition for the general public, that they depends on the:

Financial Stability Board:

Attached documents from this one, intended for the public business interest and shares distribution. Nevertheless, smba will be using its business terminology that sometimes may confuse the general public. Unfortunate enough and fortunate this is a platform for smba's business associate partners as members, currently we only serve our members; i.e. people registered within smba as teamwork executions, in expectancy of getting an extra income to make a leaving, while future Ts and Cs for everybody is pending for establishment, and will be applied without joining SMBA Mobile Administration Systems (Pty) Ltd in future, by means of whatever contribution needed at their disposal for temporarily teamwork and benefits.

Attachment:

1. Financial Sector Conduct Authority QUALIFICATIONS APPLICATION FORM
 2. APPLICATION BY FINANCIAL SERVICES PROVIDERS FOR AUTHORISATION BY THE FINANCIAL SECTOR CONDUCT AUTHORITY
- 2.1. In this application form "the Act, means the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002). A word or expression to which a meaning has been assigned in the Act, including any measure referred to in the definition of "the Act" in section 1(1), shall have that meaning, unless the context otherwise indicates.

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QUALIFICATIONS APPLICATION FORM

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Guidelines:

- In order to apply for a qualification to be recognised for inclusion on the List of Recognised Qualifications for Fit and Proper purposes, please complete forms QA1 – QA8.
- Please ensure that the following documents are included / attached to the application:
 - a. *Statement of Results / Transcript – the modules / subjects / content of the qualification must be clearly identifiable*
 - b. *Qualification certificate*
 - c. *Proof of Payment*
- Please note that incomplete application forms will not be considered.
- All qualification applications must be submitted to:

Hard copy submissions:	Electronic submissions:
FAIS Qualifications Riverwalk Office Park, Block B 41 Matroosberg Rd (Corner Garsfontein and Matroosberg Roads) Ashlea Gardens, Extension 6, Menlo Park	fais.qualifications@fsca.co.za

Business Information of Applicant
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1.1	Applicant Name					
1.2	Trading Name / Division					
1.3	Type of Business	University	Technikon / College	Accredited Provider	Professional Body	Industry Association
		Other (Please specify)				
1.4	Contact Details					
	Physical Address					
	Postal Code					
	Postal Address					
	Postal Code					
	Telephone Number					
	Fax Number					
	Website Address					
1.5	Contact Person					
	Title					
	Initials					
	Surname					
	Telephone Number					
	Cell Phone Number					
	E-mail Address					
1.6	Date of this Application					
1.7	Is this the first application that you have submitted?	Yes	No	If no, please provide the date(s) and qualification title(s) of the previous applications submitted:		
				<u>Date:</u>	<u>Qualification:</u>	

Qualification Details

Please Note:

Any incomplete information may lead to the qualification not being considered for recognition and inclusion on the Fit and Proper List of Recognised Qualifications. Please ensure that all information is complete.

2.1	Qualification Title				
2.2	Please indicate which of the following categories the qualification should be allocated to:	(a) Unit standard-based (or exit level outcomes-based) qualification registered on the National Qualification Framework	(b) Higher Education Qualification	(c) Professional Qualification	
		(d) Foreign Qualification	(e) Qualification no longer offered	(f) Other (please specify in the space provided)	
		Please note: The section below is only completed if the qualification is SAQA registered.			
2.3	SAQA Qualification ID				
2.4	Learning Field		2.5	Learning sub-field	
2.6	Credits		2.7	Level	
2.8	Registration status		2.9	Registration start date	
2.10	Registration end date		2.11	SAQA decision number	
2.12	Registered Provider				

Qualification Details

2.13	Qualification Type (please mark with X)			
	National Certificate	National Diploma	National Degree	Professional Qualification
	National Higher Diploma	National Higher Degree	Honours Degree	Masters Degree
	National Higher Certificate Other (Please specify below)			
2.14	Are there any pre-requisite requirements in order to register for this qualification?		Yes	No
	If "Yes", please list the requirements and explain the requirements where applicable.			
2.15	Does this qualification replace any other qualification?		Yes	No
	If "Yes", please specify which qualification will be replaced by this qualification:			
2.16	Will this qualification be replaced by any other qualification within the next 18 months?		Yes	No
	If "Yes", please specify which qualification will be replacing this qualification			
2.17	Is the qualification available nationally?		Yes	No
2.18	Is this a foreign qualification?		Yes	No
	If "Yes", was a certificate of equivalence issued by SAQA?		Yes	No
	If "Yes", please provide detail:			

Qualification Details

2.19	What are the purpose and the rationale of this qualification? Please explain in detail below:

Qualification Content

3.1	Is the qualification a modular based qualification? If not, please provide details of the content of the qualification.	
	Please note: <i>The section below is only completed if the applicant is the Learning Institution</i>	
3.2	Please provide a detailed breakdown / description of the content of each Module / Subject listed above:	
	<i>Module / Subject</i>	<i>Breakdown / Description of Content</i>

Qualification Content

3.2	<i>Module / Subject</i>	<i>Breakdown / Description of Content</i>

Qualification Content

3.2	<i>Module / Subject</i>	<i>Breakdown / Description of Content</i>

Qualification Content

3.3	<p>Is the structure of the qualification static? I.e. can the structure of the qualification change significantly based on what type of core / elective modules / subjects that are chosen? Provide details.</p> <div style="border: 1px solid black; height: 100px; width: 100%; margin-top: 5px;"></div>
3.4	<p>Regardless of how the qualification is structured in terms of the various electives that can be selected– can all the various combinations of the qualification be recognised? Provide details.</p> <div style="border: 1px solid black; height: 150px; width: 100%; margin-top: 5px;"></div>

Qualification Applicability		
<p>Disclaimer: If a qualification is applicable to other Licence Category/ Categories, it may be recognised as such.</p>		
<p>4.1 Please note the following:</p>		
<p>➤ Applications will only be considered for the licence Category / Categories and sub-categories selected below.</p>		
<p>➤ <u>Option 1: Recognition per Licence Category / Categories</u></p> <p><i>If the qualification must be recognised for a licence Category / Categories then selecting the relevant license Category / Categories will mean that the qualification should be recognised for all the financial products (subcategories) for that specific licence Category / Categories. (This option can be selected in conjunction with Option 3 below.)</i></p>		
<p>➤ <u>Option 2: Limited recognition – Recognition for selected financial product sub-categories ONLY</u></p> <p><i>If the qualification must be recognised ONLY for specific financial product sub-categories due to the limited scope of the content of the qualification, then only the financial product sub-categories must be selected for which the qualification should be recognised. (This option can be selected in conjunction with Option 3 below.)</i></p>		
<p>➤ <u>Option 3: Other</u></p> <p><i>If the qualification must be recognised for all key individuals and/or all compliance officers, then this must be indicated under Option 3. (This option can be selected in conjunction with Option 1 or Option 2 above.)</i></p>		
<p>OPTION 1: Recognition per License Category / Categories <i>(Includes all financial product sub-categories)</i></p>		
	✓	Is the content of the qualification relevant the Licence Category / Categories selected?
Category I only		
Category II only		
Category IIA only		
Category III only		
Category IV only		
Category I and IV		
All Categories		

OPTION 2:			
Limited recognition per financial product sub-category / categories (Limited to only the selected financial product sub-categories)			
Financial sub-categories		✓	Is the content of the qualification relevant to the financial product sub-category / categories selected?
1	CATEGORY I		
1.1	Long-term Insurance subcategory A		
1.2	Short-term Insurance Personal Lines		
1.3	Long-term Insurance subcategory B1		
1.4	Long-term Insurance subcategory C		
1.5	Retail Pension Benefits		
1.6	Short-term Insurance Commercial Lines		
1.7	Pension Fund Benefits		
1.8	Shares		
1.9	Money-market instruments		
1.10	Debentures and securitised debt		
1.11	Warrants, certificates or other instruments		
1.12	Bonds		
1.13	Derivative instruments		
1.14	Participatory interest in one or more collective investment schemes		
1.15	Forex Investment		
1.16	Health Service Benefits		
1.17	Long-term Deposits		
1.18	Short-term Deposits		
1.19	Friendly Society Benefits		
1.20	Long-term Insurance subcategory B2		
1.21	Long-term Insurance subcategory B2-A		
1.22	Long-term Insurance subcategory B1-A		
1.23	Short-term Insurance Personal Lines A1		
1.24	Structured Deposits		
1.25	Securities and instruments		
1.26	Participatory interest in a hedge fund		

OPTION 2:			
Limited recognition per financial product sub-category / categories (Limited to only the selected financial product sub-categories)			
Financial sub-categories		✓	Is the content of the qualification relevant to the financial product sub-category / categories selected?
2	CATEGORY II		
2.1	Long-term Insurance subcategory B1		
2.2	Long-term Insurance subcategory C		
2.3	Retail Pension Benefits		
2.4	Pension Fund Benefits		
2.5	Shares		
2.6	Money market instruments		
2.7	Debentures and securitised debt		
2.8	Warrants, certificates and other instruments		
2.9	Bonds		
2.10	Derivative instruments		
2.11	Participatory Interests in one or more collective investment schemes		
2.12	Forex Investment		
2.13	Long-term Deposits		
2.14	Short-term Deposits		
2.15	Long-term Insurance subcategory B2		
2.16	Long-term Insurance subcategory B2-A		
2.17	Long-term Insurance subcategory B1-A		
2.18	Structured Deposits		
2.19	Securities and instruments		
2.20	Participatory interest in a hedge fund		
2	CATEGORY IIA		
2A.1	Long-term Insurance subcategory B1		
2A.2	Long-term Insurance subcategory C		
2A.3	Retail Pension Benefits		
2A.4	Pension Fund Benefits		
2A.5	Shares		
2A.6	Money market instruments		
2A.7	Debentures and securitised debt		
2A.8	Warrants, certificates and other instruments		
2A.9	Bonds		
2A.10	Derivative instruments		
2A.11	Participatory Interests in one or more collective investment schemes		
2A.12	Forex Investment		

2A.13	Long-term Deposits		
2A.14	Short-term Deposits		
2A.15	Long-term Insurance subcategory B2		
2A.16	Long-term Insurance subcategory B2-A		
2A.17	Long-term Insurance subcategory B1-A		
2A.18	Structured Deposits		
2A.19	Securities and instruments		
2A.20	Participatory interest in a hedge fund		
3	CATEGORY III – ADMINISTRATIVE FSP		
3.1	Long-term Insurance subcategory B1		
3.2	Long-term Insurance subcategory C		
3.3	Retail Pension Benefits		
3.4	Pension Fund Benefits		
3.5	Shares		
3.6	Money market instruments		
3.7	Debentures and securitised debt		
3.8	Warrants, certificates and other instruments		
3.9	Bonds		
3.10	Derivative instruments		
3.11	Participatory Interests in one or more collective investment schemes		
3.12	Forex Investment		
3.13	Long-term Deposits		
3.14	Short-term Deposits		
3.15	Long-term Insurance subcategory B2		
3.16	Long-term Insurance subcategory B2-A		
3.17	Long-term Insurance subcategory B1-A		
3.18	Structured Deposits		
3.19	Securities and instruments		
3.20	Participatory interest in a hedge fund		
4	CATEGORY IV – ASSITANCE BUSINES FSP		

OPTION 3:			
Other			
	Key Individuals		
	Compliance Officer		

4.2.	<p>Is there any additional information you can provide to motivate the relevancy and applicability of this qualification to the financial services industry, and/or financial products in particular?</p>
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Form QA 5 – Page 1 of 1

Legitimacy of Qualification

5.1.	<p>You have stated the provider name in Form QA 2 item 2.12. Is there more than one provider that is delivering this particular qualification? Please provide the details of these providers below:</p>
5.2.	<p>Is there widespread recognition in the financial services industry of this particular qualification? Please motivate your answer in detail:</p>
5.3.	<p>What is the current reputation / standing of this qualification within the financial services industry as well as in the training and education field?</p>

Assessment Details

6.1.	<p>Please state what assessment methods / tests are used <u>DURING</u> the learning process? For example: written tests, group assignments, individual assignments, etc. Please provide as much details as possible regarding the assessment methods used:</p>
6.2	<p>Please state what assessment methods/ tests are used as a <u>FINAL</u> assessment at the <u>END</u> of the learning process (on completion of the qualification). For example: open book examination, closed book examination, portfolio of evidence, etc. Please provide as much details as possible regarding the assessment methods used:</p>
6.3	<p>Please provide an indication of what outcomes / objectives are assessed in the final assessment for this qualification?</p>
6.4.	<p>Please indicate what is the pass mark for the qualification:</p>

Additional Motivation

Please complete the additional motivation if there is any additional information that should be taken into consideration that was not included in the application form:

Qualification Sample

You have the opportunity to submit a relevant brochure, outline, etc. of the qualification that you are submitting for review and recognition. Please ensure that the information submitted here is relevant and provide additional information that are useful to evaluate the quality, content and applicability of the qualification.

If any of the information submitted should be treated as confidential, please indicate this below:

Please treat this qualification application and any additional documentation provided as confidential	YES - REQUIRED	NO – NOT REQUIRED
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Signature of applicant

Date

Application Fee

A fee of *R2 568 is payable per application / per qualification, and proof of payment must be attached to this application form when submitting the application.

The following persons must be contacted to obtain the correct bank account details in order to make payment:

FSCA Finance Department

Contact person:

1. Mmaphori Serepo

012 422 2942

Mmaphori.Serepo@fsca.co.za

** The fees are effective from 10 March 2018 – please refer to (Government Notice 41432 –Determination of Fees payable to the Registrar of Financial Services Provider – 09 February 2018)*

APPLICATION BY FINANCIAL SERVICES PROVIDERS FOR AUTHORISATION BY THE FINANCIAL SECTOR CONDUCT AUTHORITY

Introduction

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

Submissions to the Financial Sector Conduct Authority (FSCA):

1. An applicant that is not authorised as a financial services provider must, prior to submitting an application, obtain a payment reference number from the Financial Sector Conduct Authority (FSCA). The payment reference number can be obtained by -
 - (a) contacting the designated FSCA telephone number; or
 - (b) in the case of submitting an application through the online submission process, registering and creating an application.
2. Payment of the prescribed fee must be made prior to submission of the application to the FSCA and proof of payment must be attached to the application. The deposit reference must be reflected as follows –
 - (a) in the case of an applicant referred to in paragraph (1), the payment reference number obtained from the FSCA;
 - (b) in the case of an applicant that is a natural person applying for Phase 1 compliance officer approval, the identity number of the applicant;
 - (c) in the case of an applicant that is a not a natural person applying for Phase 1 compliance officer approval, a payment reference number obtained from the FSCA through the process set out in paragraph 1(a); or
 - (c) in the case of any other applicant, the applicant’s FSP number.
3. The FSCA shall not consider an **application unless the full prescribed application fee has been paid and the FSCA has confirmed receipt of payment.**
4. An applicant must only indicate the FSP number on the Forms if it is already authorised as a financial services provider and has been issued with an FSP licence number.
5. Applications may be submitted to the FSCA as follows:

Hand delivery	For attention: FAIS Registrations Riverwalk Office Park, Block B 41 Matroosberg Road (Corner of Garsfontein and Matroosberg Roads) Ashlea Gardens, Extension 6 Menlo Park Pretoria South Africa
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Electronic mail	fais.newlicense@fsca.co.za
Posting	Postal address: The FSCA PO Box 35655 Menlo Park 0102 For attention: FAIS Registrations
Online Submission (Only for new applications)	https://www.fsca.co.za/Regulated%20Entities/Pages/ES-FAIS-New-License-Applications.aspx (also accessible via www.fsca.co.za)
e-Portal (Any application for amendment or changes or updates or representative information)	https://www.fsca.co.za/Regulated%20Entities/Pages/ES-FAIS-e-portal.aspx (also accessible via www.fsca.co.za)