Date:

 *FSP details*

FAIS Registration Department: Profile Changes

Financial Sector Conduct Authority

Pretoria

In re: Application to add product categories: (insert details) for FSP:………………………………………………………….

I, ……………………………………………..…the authorised person/director/Key Individual appointed to deal with …………………………………………(FSP), hereby apply for the addition of the following product categories to our license (delete not applicable):

* *Warrants, certificates and other Instruments and/or*
* *Securities and Instruments*

I wish with respect to be re-licensed for giving advice on Warrants, certificates and other instruments/ Securities and instruments based on the below motivation.

In terms of the Financial Markets Act:

* **“securities**” means- (a) listed and unlisted- (i) shares, depository receipts and other equivalent equities in public companies, other than shares in a share block company as defined in the Share Blocks Control Act, 1980 (Act No. 59 of 1980); (ii) debentures, and bonds issued by public companies, public state-owned enterprises, the South African Reserve Bank and the Government of the Republic of South Africa; (iii) derivative instruments; (iv) notes; (v) participatory interests in a collective investment scheme as defined in the Collective Investment Schemes Control Act, 2002 (Act No. 45 of 2002), and units or any other form of participation in a foreign collective investment scheme approved by the Authority in terms of section 65 of that Act; and [Subpara. (v) substituted by s. 290 of Act 9/2017 w.e.f. 9 February 2018] (vi) instruments based on an index; (b) units or any other form of participation in a collective investment scheme licensed or registered in a country other than the Republic; (c) the securities contemplated in paragraphs (a)(i) to (vi) and (b) that are listed on an external exchange; (d) an instrument similar to one or more of the securities contemplated in paragraphs (a) to (c) prescribed by the registrar to be a security for the purposes of this Act; (e) rights in the securities referred to in paragraphs (a) to (d), but excludes- (i) money market securities, except for the purposes of Chapter IV; or if prescribed by the registrar as contemplated in paragraph (d); (ii) the share capital of the South African Reserve Bank referred to in section 21 of the South African Reserve Bank Act, 1989 (Act No. 90 of 1989); and (iii) any security contemplated in paragraph (a) prescribed by the registrar.
* In terms of my application for the addition of subcategory securities and instruments, I have offered my clients an advisory service in the past years on “warrants certificates and other instruments and as such I am fully competent to render financial advice. (Add if applicable)
* For structured notes, “notes” is defined to be a “security” in the Financial Markets Act and, as I am planning to utilize this product category to also provide financial services for “structured notes”, I am applying for the addition of the product category. (Add if applicable)
* As the new product category: “Securities and Instruments” is a catch-all for product categories that do not fall under any of the other product categories, I am applying to add this product category to be able to provide financial services for new products that do not fall under the other product categories. (Add if applicable)
* I have obtained product experience for the product categories by *(insert details*):
* Attending investment webinars/workshops with: *(list investment managers)*
* Completed product specific training with *(list)*
* Completing the Class of Business Training for Investments *(attach certificate)*

Signed on this……………………day of …………………………………………….2022.

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Signed on behalf of the FSP

Name and surname