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BOARD NOTICE

BOARD NOTICE 127 OF 2012

FINANCIAL SERVICES BOARD

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002

NOTICE ON AMENDMENT OF APPLICATION BY FINANCIAL SERVICES PROVIDERS FOR AUTHORISATION BY THE FINANCIAL SERVICES BOARD, 2012

I German Emmanuel Anderson, the Deputy Registrar of Financial Services Providers, hereby, under section 8(1) of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002), amend the Application by Financial Services Providers for Authorisation by the Financial Services Board, 2009, as set out in the Schedule.

GE Anderson,
Deputy Registrar of Financial Services Providers

SCHEDULE

NOTICE ON AMENDMENT OF THE APPLICATION BY FINANCIAL SERVICES PROVIDERS FOR AUTHORISATION BY THE FINANCIAL SERVICES BOARD, 2012

Definition

1. In this Schedule "the Application" means the Application by Financial Services Providers for Authorisation by the Financial Services Board, 2009, as published by Government *Gazette* No. 32227 of 15 May 2009.

Amendment of Index of Forms to the Application

2. The Index of Forms to the Application is hereby amended by-

(a) the substitution of the Description of Form Number FSP 6 of the following Description:

"Compliance Officer of FSP – Phase 2 approval";

(b) the substitution of Form Number FSP 13 and the Description of Form Number FSP 13 of the following Form Number and Description;

"FSP 13A – Application for approval as Compliance Officer – Phase 2 approval"; and

(c) the insertion after Form Number FSP13A of the following Form Number and Description:

"FSP 13B – Reapplication for Phase 1 approval as Compliance Officer by a partner, director or member of a Compliance Practice".

Substitution of Forms FSP 6 and FSP 13 and addition of Form FSP 13B to the Application

3. The Application is hereby amended by-

(a) the substitution of Forms FSP 6 and FSP 13 of Forms FSP 6 and FSP 13A annexed to this Schedule; and

(b) the insertion after Form FSP13A of Form FSP 13B annexed to this Schedule.

Short title and commencement

4. This Notice is called the Notice on Amendment of the Application by Financial Services Providers for Authorisation by the Financial Services Board, 2012, and comes into operation on the date of publication thereof in the *Gazette*.

Form FSP 6 - Page 1 of 3

COMPLIANCE OFFICER OF FSP – PHASE 2 APPROVAL

FSP Name

FSP No

Is the FSP required to have a compliance officer? **Yes** ☐ **No** ☐

NOTE:

A. In terms of section 17(1) of the Act, every FSP with one or more representatives or more than one key individual must appoint one or more compliance officers. In terms of section 17(2) of the Act such compliance officer(s) must be approved by the Registrar.

B. The Notice on the Qualifications, Experience and Criteria for the Approval of Compliance officers, 2010 (BN 127/2010), details the requirements applicable to compliance officers. A compliance officer must have Phase 1 approval prior to him/her being able to obtain Phase 2 approval. This form must be accompanied by a completed *Form FSP 13* if the compliance officer does not have Phase 1 approval.

C. A sole proprietor, without any representative(s), is not required to appointment a compliance officer.

D. If the FSP has more than one compliance officer, a separate form for each compliance officer must be completed.

Explanatory notes: *(The number next to the note refers to the relevant fields that must be completed.)*

1. Indicate whether the compliance officer is an in-house compliance officer or an external compliance officer.
2. If the compliance function is not outsourced, provide the name and identity number of the internal compliance officer and the Phase 1 approval number where Phase 1 approval has been granted.
3. If the compliance function is outsourced to an external compliance officer and such officer is a natural person complete subsection 3.1. If the external compliance officer is a compliance practice complete subsection 3.2 and 3.3.
4. This section must be completed a person rendering compliance services under supervision. In terms of the Notice on Exemption in respect of Services under Supervision rendered by Compliance Officers, 2010, the supervisee must be co-appointed as a compliance officer of the FSP.
5. This section must be completed a person rendering compliance services under supervision.
6. This section must be completed by all compliance officers. A compliance practice is not required to submit a matrix as referred to in subsection 6.1 with its confirmation.
7. This section must be completed by all compliance officers.

1. Indicate whether the compliance function of the FSP is seated in-house or outsourced to an external compliance officer

Internal ☐

An internal compliance officer 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.

External ☐

An external compliance officer means a compliance officer other than an internal compliance officer and includes a compliance practice.

2. Internal Compliance Officer

Name of compliance officer

Phase 1 approval number

ID/Passport number of compliance officer

3. External Compliance Officer

Indicate type of external compliance officer

(a) Natural person (excl. a natural person appointed by a compliance practice) ☐

(b) Compliance practice ☐

Form FSP 6 - Page 2 of 3

3.1. Natural person

Name of compliance officer

Phase 1 approval number

ID/Passport number of compliance officer

3.2. Compliance practice

Name of compliance practise

Phase 1 approval number

Registration number

3.3 Details of natural person appointed by compliance practice to render compliance services to the FSP

Name of compliance officer

Phase 1 approval number

ID/Passport number

4. Rendering of compliance services under supervision

4.1. Will you be rendering compliance services under supervision?

Yes ☐ No ☐

4.2. Is your supervisor co-appointed as a compliance officer of the FSP if the answer in section 4.1 is in the affirmative?

Yes ☐ No ☐

4.3. Please attach confirmation from your supervisor that he/she has the required operational ability to supervise the rendering of compliance services to the FSP by the compliance officer acting under supervison.

5. Details of supervisor

Name of compliance officer acting as supervisor

Phase 1 approval number of supervisor

ID/Passport number of supervisor

6. Additional information relating to independence, competency and operational ability
The following information must be provided in a separate document attached as an annexure to the application form and must be signed and dated by the compliance officer.

6.1. Confirmation that the compliance officer has adequate resources to ensure the efficient rendering of compliance services. The confirmation, in the case of a compliance officer other than a compliance practice, must be accompanied with a matrix reflecting the number of FSPs categorised according to the category of FSP, the size of the FSP (having cognisance of the number of business premises, business units and branches of the FSP) and the number of representatives allocated to the compliance officer, the number of monitoring visits that must be conducted on the FSP and its representatives, the number of reports and intervals in which such reports must be provided.

6.2. Confirmation from the FSP that the compliance officer has direct access to and demonstrable support from the senior management of the FSP.

Form FSP 6 - Page 3 of 3

6.3. Details of how the compliance officer will ensure that he/she will function independently and objectively from the FSP.

6.4. Details of how the compliance officer will avoid conflicts of interest in the rendering of compliance services to the FSP.

6.5. Details on the compliance officer's monitoring plan for the FSP and its representatives, including but not limited to the frequency of monitoring visits, training and other services that will be provided.

6.6. If the compliance function is performed by an internal compliance officer, details of the compliance function and organisational structure of the business including details relating to any delegation of compliance services to another person as contemplated in paragraph 8(2) BN 127/2010.

7. Declaration

I ..... (name of compliance officer) confirm that I have the required operational ability to conduct regular reviews of financial services rendered by the FSP and its representatives, am able to keep and maintain records, am able to assist the FSP in the compilation of a compliance risk management strategy, and that I will function independently and objectively from the FSP and that I will avoid conflict of interests in the rendering of compliance services to the FSP.

....

Signature of compliance officer Date

FSP Form 13A - Page 1 of 8

APPLICATION FOR APPROVAL AS COMPLIANCE OFFICER – PHASE 1 APPROVAL

NAME OF APPLICANT

A. All persons applying for approval as compliance officers in terms of section 17(2) of the Financial Advisory and Intermediary Services Act, 2002 (the Act) must complete this form and the application must be accompanied by proof of payment of the prescribed application fee. The fee must be deposited into one of the following bank accounts of the FSB:
Standardbank, Menlyn Branch, Account number: 012746363
Nedbank Corporate Client Services, Account number:1454094451
Absa Corporate and Business Bank, Account number: 4069676171
First National Bank – Corporate, Account number: 62155244222
The applicant's full names must be indicated as reference.

B. The qualifications, experience and criteria for approval of a compliance officer are detailed in Board Notice 127 of 2010 published on 9 September 2010 in Gazette No. 33537 (BN 127).

C. In terms of BN 127 a compliance officer is defined as-
"(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."

D. **General**
The different types of persons applying for approval must complete the following sections of this form:

	Type of applicant	***Sections to be completed***
a)	Natural person	*1, 2, 3, 4.1,5, 6, 7 8, 9 and 10 (if applicable)*
b)	Compliance practice	*1, 2, 3, 4.2, 5, 6, , 9, 10*
c)	Director, member or partner of a compliance practice	*1, 4.3, 5, 6, 9*
d)	Natural person appointed by a compliance practice	*1, 2, 3, 4.4, 5, 6, 7, 8, 9 and 11 (if applicable*

Explanatory notes *(The number next to the note refers to the relevant fields that must be completed)*

1. Indicate the type of person applying for approval as compliance officer.
2. Indicate whether compliance services will be rendered as an internal or external compliance officer. The phrases *"internal compliance officer"* and *"external compliance officer"* are defined in paragraph 1(1) of BN 127.
3. Indicate the categories of providers in respect of which approval is sought to render compliance services.
4. The relevant subsection must be completed. A certified copy of the applicant's identification document must accompany the application form and reference thereto must be reflected on *Form FSP 14A*.
5. If the applicant is a compliance practice, the mobile phone number and e-mail address of the contact person must be provided.
6. All questions in section 6 must be answered.
7. Applicants must comply with all the competence requirements as detailed in BN 127 in order for the Registrar to consider an application.
   7.1. An applicant must have passed the prescribed regulatory examination prior to the Registrar being able to approve an application.
   7.2. In terms of BN127, an applicant must, *inter alia*, hold a qualification on the list of recognised compliance qualifications. Please refer to the List of Recognised Compliance Qualifications to determine whether your qualifications are recognised. If the qualifications are not recognised the applicant must, prior to submitting this application, apply in the prescribed form and manner to the Registrar for recognition of his/her qualifications.

   If the qualifications are recognised, provide in column two (with the heading 'Qualification Code') of the Table in section 7.2 the qualification ID number as reflected on the List of Recognised Compliance Qualifications and attach certified copies of all qualifications. Reference thereto must be reflected on *Form FSP 14A*.
8. Refer to BN 127.
   8.1. Indicate whether you have three years' experience in performing a compliance or risk management function as required by paragraph 3(1)(c) in BN 127.
   8.2. In terms of paragraph 3(1)(e) of BN 127 an applicant must at least have on year's experience in performing a compliance or risk management function in respect fo the specific category or providers the applicant seeks to obtain approval to render compliance services.
   8.3. A detailed CV of the applicant must be attached that list the relevant experience the applicant has gained. Full details of the applicant's responsibilities must be provided to illustrate that he complies with the three years' experience requirement and that he has one year's experience in performing a compliance or risk management function in respect of the specific category(ies) of providers in terms of which approval is sought to render compliance services.
   8.4. Attach the reference letters and indicate on *Form FSP 14A* the documentation attached. The information provided in subsection 8.1 to 8.3 must be supported by specific references. At least one reference letter must be provided as proof that the applicant complies with the experience requirements.
9. Answer all questions under section 9. If the answer to any of the questions is in the negative, full details must be provided in a separate document and the applicant must indicate on *Form FSP 14A* the documentation attached.
10. Section 10 must only be completed by persons applying for approval as an external compliance officer. An external compliance officer includes a compliance practice (see definition of 'external compliance officer' in BN127).
11. An applicant, who does not have the required experience or who did not successfully complete the relevant regulatory examination may render compliance services under supervision. Refer to BN126 of 2010.

FSP Form 13A - Page 2 of 8

NAME OF APPLICANT

1 TYPE OF APPLICANT
Type of person applying for phase 1 approval as compliance officer

(A) Natural person (excl. a natural person appointed by a compliance practice) ☐

(B) Compliance practice ☐

(C) Director, member or partner of a compliance practice ☐

(D) Natural person appointed by compliance practice ☐

2 INTERNAL OR EXTERNAL COMPLIANCE OFFICER
Indicate whether compliance services will be rendered as an internal or external compliance officer

(a) Internal compliance officer ☐

(b) External compliance officer ☐

3 CATEGORY OF FSP IN RESPECT OF WHICH COMPLIANCE SERVICES WILL BE RENDERED
Indicate the categories of providers in respect of which approval is sought to render compliance services

Category I ☐

Category II ☐

Category IIA ☐

Category III ☐

Category IV ☐

4 PERSONAL DETAILS
A certified copy of the applicant's identification document must accompany the application form.

4.1 Natural person

Title

Initials

First name

Surname

ID/Passport number

Date of birth

4.2 Compliance practice

Name

Institutional form of compliance practice:

(a) Company ☐

(b) Close Corporation ☐

(c) Partnership ☐

Registration number

Contact person

FSP Form 13A - Page 3 of 8

NAME OF APPLICANT

Details of all directors, members and partners

ID/Passport no.	First names	Surname	Phase 1 Approval number

NOTE: If an applicant seeks approval as a compliance practice, all its directors, members or partners must have Phase 1 approval (see paragraph 2(2)(a) read with paragraph 3(3)(a) of BN 127).

4.3 Director, member or partner of a compliance practice

Title

First names

Surname

ID/Passport number

Name of compliance practice

Date of birth

Approval number of compliance practice

4.4 Natural person appointed by a compliance practice

Title

First names

Surname

ID/Passport number

Date of birth

Name of appointing compliance practice

Approval number of appointing compliance practice

FSP Form 13A - Page 4 of 8

NAME OF APPLICANT

5 CONTACT DETAILS

Physical address

Postal code

Postal address

Postal code

Telephone number

Fax number

Mobile phone number

E-mail address

FSP Form 13A - Page 5 of 8

NAME OF APPLICANT

6 FIT AND PROPER REQUIREMENTS – HONESTY AND INTEGRITY

6.1 Honesty and Integrity Questions

If the answer to any of these questions is YES, provide full details in a separate document signed by the compliance officer and attach to the application form.

	Questions	Yes	No
1	Has an adverse finding been made against you within a period of five years preceding the date of application in any civil or criminal proceedings by a court of law (whether in the Republic of South Africa or elsewhere) in which you were found to have acted fraudulently, dishonestly, unprofessionally, dishonourably or in breach of a fiduciary duty?	☐	☐
2	Have you within a period of five years preceding the date of application been found guilty by any professional or financial services industry body (whether in the Republic or elsewhere), of an act of dishonesty, negligence, incompetence or mismanagement?	☐	☐
3	Have you within a period of five years preceding the date of application been denied membership of any body referred to in paragraph 2 on account of an act of dishonesty, negligence, incompetence or mismanagement?	☐	☐
4	Have you within a period of five years preceding the date of application been found guilty by any regulatory or supervisory body (whether in the Republic or elsewhere) of an act of dishonesty, negligence, incompetence or mismanagement?	☐	☐
5	Have you within a period of five years preceding the date of application been found guilty by any regulatory or supervisory body (whether in the Republic or elsewhere), recognised by the Board, or has an authorisation to carry on business has been refused, suspended or withdrawn by any such body on account of an act of dishonesty, negligence, incompetence or mismanagement?	☐	☐
6	Have you at any time prior to the date of application been disqualified or prohibited by any court of law (whether in the Republic or elsewhere) from taking part in the management of any company or other statutorily created, recognised or regulated body, irrespective whether such disqualification has since been lifted or not?	☐	☐

6.2 Additional information

If the answer to any of these questions is YES, provide full details in a separate document signed by the compliance officer and attach to the application form.

	Questions	Yes	No
1.	Have you been refused the right to carry on or restricted from carrying on a trade, business or profession for which a specific licence, registration or other authority is required by law in any country?	☐	☐
2.	Have you been issued with a prohibition order under any Act administered by the Financial Services Board or been prohibited by other regulatory bodies from operating in the financial services industry?	☐	☐
3.	Have you been involved with a corporation, which has been censured, disciplined, suspended or refused membership or registration by a stock exchange, futures exchange, other market or regulatory authority?	☐	☐
4.	Have you had any judgment (including a finding of fraud, misrepresentation or dishonesty) given against you in any civil proceedings, in South Africa or elsewhere or are there any proceedings now pending which may lead to such a judgment?	☐	☐
5.	Have you knowingly or negligently aided or abetted other persons in the breaching of any laws, regulations, exchange rules and/or codes of conduct?	☐	☐
6.	Have you been the subject of any investigation or disciplinary proceedings by any regulatory authority (whether in the Republic or elsewhere) or exchange, professional body or government body or agency?	☐	☐
7.	Has your estate ever been sequestrated?	☐	☐
8.	Have you ever been a controlling shareholder, director of a company or member of a close corporation at the time it was placed under judicial management or in provisional or final liquidation?	☐	☐
9.	Have you ever been refused a licence or registration in any place under any law, which requires licensing or registration in relation to securities, futures, leveraged foreign exchange or insurance activities?	☐	☐
10.	Have you ever been refused authorisation to carry on business by any regulatory body (whether in the Republic or elsewhere), recognised by the Financial Services Board or has such authorisation ever been suspended or revoked by any such body, because of negligence, incompetence or mismanagement?	☐	☐
11.	Do you have any additional information, which should be brought to the Registrar's attention, which may have an impact on the evaluation, by the Registrar of your good character and integrity?	☐	☐

FSP Form 13A - Page 6 of 8

NAME OF APPLICANT

7 QUALIFICATIONS

7.1 Regulatory Exams

Have you successfully completed the relevant regulatory examination?

Yes ☐ **No** ☐

7.2 Qualification requirements

Please note that only qualifications listed on the Recognised Qualification List for Compliance Officers will be accepted.

Institution that issued the qualification	Qualification code	Qualification	Year obtained

8 EXPERIENCE

8.1 Do you have at least three years' experience in performing a compliance or risk management function?

Yes ☐ **No** ☐

8.2 Indicate the months of experience obtained in performing a compliance or risk management function in respect of the specific category(ies) of providers in respect of which approval is sought to render compliance services.

CATEGORY	Months experience
Category I	
Category II	
Category IIA	
Category III	
Category IV	

8.3 Employment history

Provide a detailed CV of the compliance officer's experience. The CV must include sufficient detail to satisfy the Registrar that the applicant has at least three years' experience in performing a compliance or risk management function and that the applicant complies with the required experience in relation to the different categories of providers in respect of which compliance services are to be rendered.

Dates of Employment (dd/mm/yyyy - dd/mm/yyyy)	Employer	Position held	*Indicate type of experience	Provide detailed information on responsibilities

*Note: Indicate whether experience was gained in performing a compliance or risk management function or whether experience was gained in performing a compliance or risk management function in respect of specific category(ies) of providers

8.4 References

At least one reference letter must be provided as proof of the applicant's compliance with the requirements to have at least three years' experience in performing a compliance or risk management function and as proof that the applicant has obtained at least one year's experience in performing a compliance or risk management function in respect of the specific category(ies) of providers in respect of which approval is sought to render compliance services.

Names of referees	Company employed

FSP Form 13A - Page 7 of 8

NAME OF APPLICANT

9 GENERAL REQUIREMENTS

9.1 Have you entered into a compromise with creditors, are you an unrehabilitated insolvent or have you been provisionally sequestrated or liquidated?

Yes ☐ **No** ☐

9.2 Do you have adequate access to communication facilities, including at least a telephone or cellphone services and typing and document duplication facilities?

Yes ☐ **No** ☐

10 ADDITIONAL REQUIREMENTS APPLICABLE TO EXTERNAL COMPLIANCE OFFICERS

If the answer to any of these questions is No, provide full details in a separate document signed by the compliance officer or person delegated by compliance practice and attach to the application form.

	Questions	Yes	No
1.	Do you have a fixed business address?	☐	☐
2.	Do you have the operational ability to render compliance services efficiently?	☐	☐
3.	Do you have adequate storage and filing systems for the safe-keeping of records, business communications and correspondence?	☐	☐
4.	Do you have control structures, processes and procedures with reference to-		
	(a) segregation of duties where such segregation is appropriate from an operational and risk mitigation perspective?	☐	☐
	(b) control of access to the compliance officer's premises?	☐	☐
	(c) access rights and data security on electronic data?	☐	☐
	(d) physical security of your records?	☐	☐
	(e) business policies and controls?	☐	☐
	(f) system application testing?	☐	☐
	(g) disaster recovery and back-up procedures on electronic data?	☐	☐
	(h) a business continuity plan?	☐	☐

11 SERVICES UNDER SUPERVISION

11.1 Will the applicant be rendering compliance services under supervision? Yes ☐ No ☐

11.2 If yes, please complete the following:

(a) Name of Supervisor

(b) Phase 1 approval number of supervisor

11.3 The following information must be provided in a separate document attached as an annexure to this form

(a) Confirmation from the supervisor that he/she has the required operational ability to supervise the rendering of compliance services by the applicant.

(b) A copy of the supervision agreement.

I, ... (name of applicant) declare that the information provided in this form is correct.

....

Signature **Date**

FSP Form 13A - Page 8 of 8

NAME OF APPLICANT

12. Indemnity form

I, ... (full name of applicant)

Identity / passport number ..... hereby authorise the Financial Services Board, and its duly authorised verification agent, to request or confirm any personal information as well as any other information that I have provided in support of my application to any personal data holders (including but not limited to the South African Police Services, the Government of the RSA, industry bodies and associations, employers and any educational, training, credit bureau and fraud prevention organisations) for the purpose of verifying my personal credentials and records.

Credential verification types include, but are not limited to, educational qualifications, professional membership, employment history, employment references including industry employment registers, consumer credit, criminal records, drivers' licence, and fraud prevention checks.

I authorise the personal data holders (including but not limited to the aforesaid institutions) to furnish information regarding my credentials, whether claimed or not, to the Financial Services Board and it's duly authrorised verification agent. I unconditionally indemnify the Financial Services Board, its verification agent and the personal data holders against any liability that may result from furnishing information in this regard.

....
Signature Date

FSP Form 13B - Page 1 of 3

REAPPLICATION FOR PHASE 1 APPROVAL AS COMPLIANCE OFFICER BY A PARTNER, DIRECTOR OR MEMBER OF A COMPLIANCE PRACTICE

NAME OF APPLICANT

A. All partners, directors or members of a compliance practice reapplying for Phase 1 approval must complete this form and the application must be accompanied by proof of payment of the prescribed application fee. The fee must be deposited into the following bank account of the FSB:
Standardbank, Menlyn Branch, Account number: 012746363.
The applicant's full names must be indicated as reference.

B. The requirements applicable for approval of a compliance officer are detailed in Board Notice 127 of 2010 published on 9 September 2010 in *Gazette* No. 33537 (BN 127). In terms of the aforementioned Notice, the Phase 1 approval granted to a partner, director or member of a compliance practice lapses after twenty four months of the date of approval unless such individual reapplies for approval before the expiry of the twenty four months.

1 DETAILS OF COMPLIANCE PRACTICE

Name of compliance practice

Approval number of compliance practice

2 PERSONAL DETAILS

Phase 1 approval number

Title

Initials

First name

Surname

ID/Passport number

Date of birth

3 CONTACT DETAILS

Physical address

Postal code

Postal address

Postal code

Telephone number

FSP Form 13B - Page 2 of 3

Fax number		
Mobile phone number		
E-mail address		

4 GENERAL

4.1 Did any of the information (other than contact details) provided in the original application for approval changed?

Yes ☐ No ☐

4.2 If yes, provide full details in a separate document attached as an annexure to this form.

4.3 Do you have any additional information, which should be brought to the Registrar's attention that may have an impact on the evaluation by the Registrar of your good character and integrity? If yes, provide full details in a separate document attached as an annexure to this form.

I, ... (name of the compliance officer) declare that the information provided in this form is correct.

....

Signature **Date**

FSP Form 13B - Page 3 of 3

NAME OF APPLICANT

12. Indemnity form

I, ... (full name of applicant)

Identity / passport number ..... hereby authorise the Financial Services Board, and its duly authorised verification agent, to request or confirm any personal information as well as any other information that I have provided in support of my application to any personal data holders (including but not limited to the South African Police Services, the Government of the RSA, industry bodies and associations, employers and any educational, training, credit bureau and fraud prevention organisations) for the purpose of verifying my personal credentials and records.

Credential verification types include, but are not limited to, educational qualifications, professional membership, employment history, employment references including industry employment registers, consumer credit, criminal records, drivers' licence, and fraud prevention checks.

I authorise the personal data holders (including but not limited to the aforesaid institutions) to furnish information regarding my credentials, whether claimed or not, to the Financial Services Board and it's duly authrorised verification agent. I unconditionally indemnify the Financial Services Board, its verification agent and the personal data holders against any liability that may result from furnishing information in this regard.

....

Signature Date

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