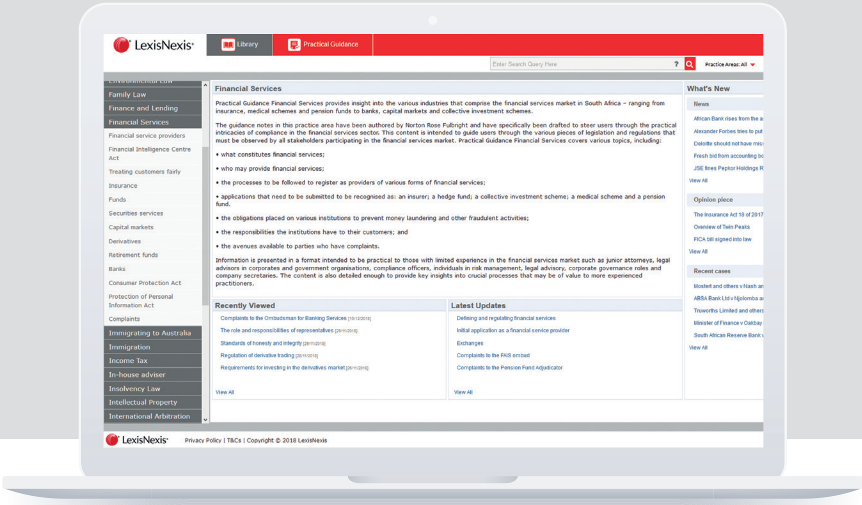
Lexis® Practical Guidance

Financial Services



A practical legal 'how to' guide

Looking for guidance on complying with the legislative aspects in the financial sector? Need assistance with the Financial Intelligence Centre Act, and drafting of the required documents? Require a practical breakdown of the relevant Acts? *Practical Guidance Financial Services* provides users with updated, step-by-step guidance and practical aids that are needed to effectively deal with a collection matter.

Why Lexis® Practical Guidance: Financial Services?

Users are supported in the compliance aspects of the Financial Sector, from a breakdown of the various legislation to assisting users in practically applying the content. This content expands from the application of complying with the Financial Advisory and Intermediary Services Act, the requirements in terms of the Financial Intelligence Centre Act as well as a breakdown of the insurance services in South Africa.

Additional guidance is provided on hedge funds and on the impact of the Consumer Protection Act. Easily downloadable forms and customisable precedents are supplied with respective guidance notes, so that users know what to do, when to do it and how to do it.

Users have convenient online access to current Legislation and Case Law, as well as Guidance Notes, Checklists, Forms and Precedents that are authored and updated by expert practitioners.

Stay compliant

Practical Guidance is a comprehensive online toolkit for all involved in the South African workplace. Acting as a quick reference guide, a precedent bank and a trusted resource tool, this easy-to-navigate online resource gives you detailed, up-to-date information across 25 topics and offers over 270 forms, precedents, checklists and other resources for practical implementation. The result? Speedy access to accurate and relevant information, expert opinion, and practical resources in a user-friendly format on a single platform.

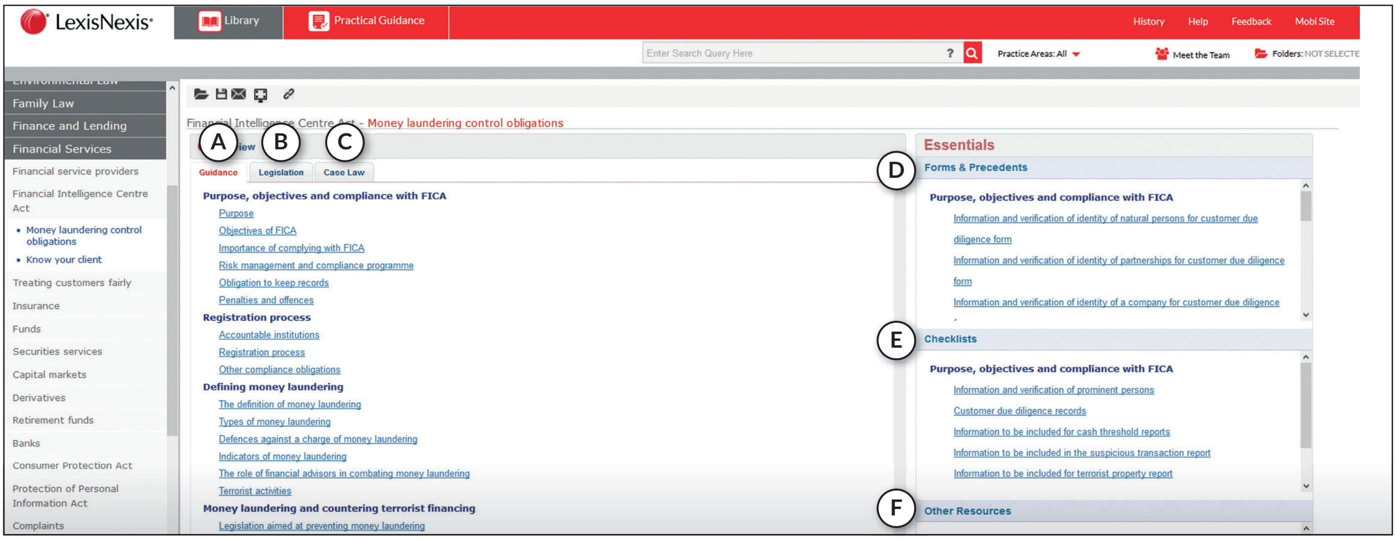
Who should use this guide?

- Legal advisors
- Compliance officers
- Wealth advisors
- Financial advisors
- Legal practitioners

For the latest practical legal guidance, visit our website for a free demo or more information.
lexisnexis.co.za/pg/**financial-services**

Resources include:

- More than 90 guidance notes
- Over 270 customisable forms, precedents, checklists and other resources to ensure not a single step is missed, including:
  - Various FSP forms
  - Information and verification of identity of natural persons for customer due diligence form
  - Training attendance register
  - Report for suspicious or unusual transactions
  - Letter of authorisation
  - Binder agreement
  - Application for approval of a foreign collective investment scheme in terms of section 65 of the Collective Investment Schemes Control Act
  - Draft pension fund rules
  - FAIS complaints registration form
  - Prudential standards guidance notes
  - Customer due diligence records



A Guidance Notes

Over 25 topic overviews and over 90 guidance notes. The topic overviews group content and information according their relevant and understandable financial service related issues. Each guidance note provides step-by-step guidance on the relevant processes and information as well as applicable forms, precedents and checklists for assistance on daily matters.

B Legislation

Financial Services provides access to the most relevant and up-to-date legislation, including:

- Financial Advisory and Intermediary Services Act
- Financial Intelligence Centre Act
- Insurance Act
- Financial Sector Regulation Act
- Consumer Protection Act
- Protection of Personal Information Act.

C Case Law

The Case Law tab provides access to precedent setting and up-to-date judgments. This case law is also discussed and unpacked within the relevant guidance note.

D Forms and Precedents

Over 100 forms and precedents. Provides access to customisable precedents with drafting tips and downloadable forms. These precedents assist with the various applications that can be made to the various bodies as well as the applicable and relevant legal forms that are commonly used in the financial sphere. There are also various customisable policies and templates.

E Checklists

Various checklists. Checklists provide step-by-step information to ensure that pertinent information is not missed. There are checklists that cover the information required for an exchange license application, Information to be included for cash threshold reports, and information to be included in the suspicious transaction report.

F Other Resources

Over 150 other resources. Contains guides, flowcharts and relevant practical aids that provide useful information in the financial sector, such as the relevant prudential standards and assistance on lodging complaints to the relevant bodies.

For the latest practical legal guidance, visit our website for a free demo or more information.

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