

REGULATORY EXAM FOR KEY INDIVIDUALS (REI)



UNLOCK YOUR CAREER POTENTIAL

OVERVIEW

Make the most of your career as a key individual of a financial service provider (FSP) and let Ucademy assist you in passing the most important exam of your career. Your future depends on developing your knowledge about key areas of the regulatory exam, so that you can pass it – first time!



UCADEMY
LEVELUP

OBJECTIVES

By the end of this programme, you'll be able to:

- Demonstrate understanding of the Financial Advisory and Intermediary Services (FAIS) Act as a regulatory framework.
- Define financial products and financial services.
- Maintain the licence of the FSP.
- Operate as a key individual in terms of the FAIS Act.
- Manage and oversee the operational ability of the FSP.
- Adhere to the specific Codes of Conduct.
- Manage and oversee the compliance functions as required by the FAIS Act.
- Comply with regulated record keeping requirements.
- Manage and oversee the accounting and auditing requirements.
- Manage and oversee the requirements of the Financial Intelligence Centre (FIC) and Money Laundering and Terrorist Financing control regulations, as it applies to the FSP.
- Deal with complaints that have been submitted to the Ombud for FSPs.
- Define the role of the representative in terms of the FAIS Act.
- Manage and oversee the appointment of representatives.
- Manage the rendering of services under supervision.
- Manage and oversee the representatives appointed by an FSP.
- Debar representatives that have failed to comply with any provision of the FAIS Act in a material manner.



DURATION

5 days



TARGET AUDIENCE

All key individuals in the financial industry



BATCH SIZE

20

BENEFITS

The Ucademy advantage

Our competitive advantage lies in our ability to deliver leading specific and business-led programmes that are customised, contextualised and blended in order to meet the performance needs of our clients.

- Learners have access to subject matter experts.
- Learners have access to Ucademy in-house specialists, mentors and coaches.
- Learners have access to global best-practice thinking and global market-readiness learnings.
- Ucademy programmes may lead to placement opportunities for top talent and marginalised groups.
- Ucademy offers academic rigour and support to meet completion requirements.

CONTENT SPLIT

- Facilitator-led session: 70%
- Online learning: 20%
- Peer learning: 10%

RECOMMENDED LEARNING RESOURCES

N/A



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