



FINANCIAL SERVICES BOARD

LICENCE No. 74

FINANCIAL SERVICES PROVIDER
Financial Advisory and Intermediary Services Act, 2002

It is hereby certified that with effect from 30 September 2004

BAROQUE FINANCIAL SERVICES (PTY) LTD

**IS LICENSED AS A FINANCIAL SERVICES PROVIDER IN TERMS OF SECTION 8 OF THE
FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 (ACT NO. 37 OF 2002)**
subject to the conditions and restrictions set out in the Annexure




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REGISTRAR OF FINANCIAL SERVICES PROVIDERS

This document to be displayed in terms of section 8(8)(a) of the Act. The Annexure to be available for the information of clients.

FINANCIAL SERVICES BOARD

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OUR REF:	26/10/ 74	FAX:	(012) 422 2973
DATE:	10/10/2016	E-MAIL:	sinikiwe.mcineka@fsb.co.za

MRS L SCHUTTE
 BAROQUE FINANCIAL SERVICES (PTY) LTD
 POSTNET SUITE 4
 PRIVATE BAG X 25723
 MONUMENT PARK
 0105

Fax number: 012 347 0540
 E-mail: louise@baroqueonline.com

Dear MRS L SCHUTTE

**FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 ("the Act")
 REQUEST FOR CHANGE OF FINANCIAL SERVICES PROVIDERS APPLICATION
 DETAIL**

Your letter dated 01 June 2016 refers.

In terms of section 8(4) of the Act the restrictions on your license were amended and the following sub-categories were removed from your license on your request:

Category II

- 2.3 Retail Pension Benefits
- 2.4 Pension Fund Benefits
- 2.5 Securities and Instruments: Shares

Yours sincerely

Snikiwe Mcineka

ppREGISTRAR OF FINANCIAL SERVICES PROVIDERS

Board Members: AM Sithole (Chairperson) H Wilton (Deputy Chairperson) Z Bassa JV Mogadime Prof PJ Sutherland
 FE Groepe D Turpin HMH Ratshefola D Msomi I Momoniat O Makhubela (Alternate)
 Executive Officer: DP Tshidi

SABS
 ISO 9001

ANNEXURE

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 CONDITIONS AND RESTRICTIONS

Licence no : 74

Issued to : BAROQUE FINANCIAL SERVICES (PTY) LTD

1. The licence authorises the licensee to carry on business in respect of

Financial advisory services as Financial Services Provider in respect of the following products :

Long-term Insurance : Category B1, C,B2, Short-term Insurance : Category Personal Lines, Commercial Lines, Retail Pension Fund Benefits, Pension Fund Benefits (excluding Retail Pension Benefits), Participatory interest in one or more collective investment scheme, Health service benefits provided by a medical scheme as defined in section 1 of the Medical Schemes Act, 1998

Financial intermediary services as Financial Services Provider in respect of the following products :

Long-term Insurance : Category B1, C,B2, Short-term Insurance : Category Personal Lines, Commercial Lines, Retail Pension Fund Benefits, Pension Fund Benefits (excluding Retail Pension Benefits), Participatory interest in one or more collective investment scheme, Health service benefits provided by a medical scheme as defined in section 1 of the Medical Schemes Act, 1998

Discretionary Financial Services Provider in respect of the following products :

Participatory interest in one or more collective investment scheme

2. Further conditions/ restrictions:

- 1 The financial services provider must inform the Registrar in writing, by facsimile or in an appropriate electronic format, within 15 days after the change has taken place, of any change in respect of business information of the financial services provider as provided in Form FSP1, FSP3, FSP4, FSP9, FSP10, FSP10A or FSP11, respectively, of the Application Form which was submitted by the provider for purposes of obtaining a licence, and in particular relating to the provider's representatives, auditor, compliance officer or any foreign clearing firm or foreign forex service provider involved (if any) and nominee company or independent custodian involved or the shareholders, directors or trustees of any such company or custodian (If any).
- 2 The financial services provider must at all times during the currency of the provider's licence maintain the services of any key individual or key individuals mentioned in the information submitted on the said Application Form, and must as regards changes in respect of such information relating to a key individual, or appointment of a new key individual, of the provider, in addition to acting also in such cases in accordance with the procedure and time limit set out in Condition 1, also ensure full compliance with

ANNEXURE

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002

CONDITIONS AND RESTRICTIONS

section 8(4)(b) of the Act, the provisions of which must be regarded as included in this Condition.

- 3 The financial services provider must within one month of the date contemplated in section 7 of the Act, submit a copy of the register kept in terms of section 13(3) of the Act to the Registrar, and must thereafter in accordance with the procedure and time limit set out in Condition 1, inform the Registrar of any change effected to the details as contained in that register.
- 4 The financial services provider must not in any manner change the name of the financial services business as reflected on the licence concerned, or carry on any financial services business under such a changed name, unless- (a) the provider has fully complied with the provisions of any other law than the Act which regulates such change of business name (if any); (b) the provider has fully disclosed to the Registrar the details of such compliance with such other law; (c) the Registrar is satisfied that such change of name is otherwise lawful and has approved such change of name; and (d) the Registrar has issued to the provider an appropriately amended licence under the provisions of section 8(5)(b)(i) of the Act.
- 5 The financial services provider must at all times ensure that any financial product in respect of which the provider intends to render a financial service, qualifies as a financial product contemplated in the Act and is or will be lawfully issued by the relevant product supplier by virtue of an authority, approval or right granted to such supplier under a law as contemplated in the definition of 'product supplier' in section 1(1) of the Act.