

FAIS General Code of Conduct - Conflict of Interest - Do we have conflicts?

Staff

Ensure all staff complete the Conflict of Interest Questionnaire and summarise the results below;

This mapping process, following the initial review, should be updated;

- i) For any known changes in staff relationships
- ii) For any planned changes in remuneration policy by us or 3rd parties and
- iii) At the scheduled annual review date

The following review completed:

25/2/2011

Completed by:

W Steyn

Scheduled review date:

25/2/2011

Do we offer any financial interest (see definition) to representatives for;

- i The quantity of business written?** No
- If Yes
- Is there any quality requirement for this payment to be made? No

If Yes please provide details;

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NB: This method of remuneration is no longer allowed from April 2011 unless there is a quality aspect to the calculation of the payments

Agreed corrective action

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Agreed implementation date

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Do we offer any **financial interest** (see definition) to representatives for;

ii Giving preference to one **insurer** where there is the option of more than one?

No

If Yes please provide details;

NB: This method of remuneration is no longer allowed from April 2011

Agreed corrective action

Agreed implementation date

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Do we offer any **financial interest** (see definition) to representatives for;

iii Giving preference to one **product** where there is the option of more than one?

No

If Yes please provide details;

NB: This method of remuneration is no longer allowed from April 2011

Agreed corrective action

Agreed implementation date

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Do any representatives have a relationship with any third parties, as defined, or other service providers?

Representative	3rd Party, Service Provider	Relationship	Seen as conflict?		
Wayne Jorgensen	SHA	Wife		No	
Corrective action taken					

Representative	3rd Party, Service Provider	Relationship	Seen as conflict?		
Zandra Riddle	N/A	N/A			N/A
Corrective action taken					

Representative	3rd Party, Service Provider	Relationship	Seen as conflict?		
Candice Griezel	Mutual & Federal Ins. Co.	Mother		No	
Corrective action taken					

Representative	3rd Party, Service Provider	Relationship	Seen as conflict?		
Tracey Britz	N/A	N/A			N/A
Corrective action taken					

Representative	3rd Party, Service Provider	Relationship	Seen as conflict?		
Suzette Labuschagne	N/A	N/A			N/A
Corrective action taken					