

FIT & PROPER MANAGER

A web-based integrated solution to record, assess and monitor the entire Fit & Proper competency life cycle of Key Individuals and Representatives.

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FIT & PROPER MANAGER

Moonstone's integrated solution enables FSPs to establish competency requirements, record supervision activities, track deadline dates and demonstrate compliance.

Board Notice 194 of 2017 requires an FSP to establish and maintain internal systems and monitoring mechanisms to ensure that its Key Individuals and Representatives:

- Have adequate, appropriate, and relevant skills and knowledge in respect of the financial services, financial products and functions that they perform.
- Comply and continue to comply with the minimum experience, qualification, regulatory examination and Class of Business training requirements.
- Are appropriately trained regarding the requirements of the FAIS Act and the financial services and financial products in respect of which they are appointed.
- Undertake continuous professional development to maintain and update the knowledge and skills that are appropriate for their activities.



Managed Solution Service

Upgrade your subscription from the basic service to the Managed Solution.

We understand that your staff's compliance with the Fit & Proper requirements is important to you. We also realise that our clients do not always have the time to continuously record, assess and monitor the various requirements which may apply to their staff.

That's why we have introduced the Managed Solution for clients who subscribe to the Fit & Proper Manager web application.

The Managed Solution is an optional ancillary service that will save you time and provide peace of mind.

**CPD
ACTIVITIES**

Managed Solution Benefits:

- A dedicated support consultant assigned to your FSP
- Ongoing facilitation of user onboarding and offboarding
- Continuous alignment of your Rep Register with that of the FSCA's Central Register
- Direct interactions with your representatives to ensure that their records are correctly captured within the required time-frames
- Reminders to representatives of approaching deadlines and any outstanding requirements
- Receive periodic reviews and monthly reports that will keep you informed of any issues of non-compliance

Record Assess Monitor

Dashboards | Regulatory
Examinations | Management and
Oversight Experience | Good
Standing | Exemptions |
Recognised Qualifications | CMS
Accreditation | Supervision
Reviews

Competence Register | User
Profiles | Product Specific
Training | Entry-Level
Qualification | Supervision
Activities | Interruptions |
Class of Business Training

Honesty & Integrity |
Continuous Professional
Development | Audit Trails |
Deadline Dates |
System Integrations |
Financial Product Experience |
Debarment

**FIT & PROPER
MANAGER**

Search/Select FSP
Gold Nugget (Demo) Ltd (-25

DASHBOARD FSP PROFILE REGISTERS

STAFF MEMBER REGISTER COMPETENCE REGISTER

Staff Member Register

Action

Expand	Last Name, Name	ID Number / PPN
<input type="checkbox"/>	Smith, Julian	PP DEM08705125111

LOGIN

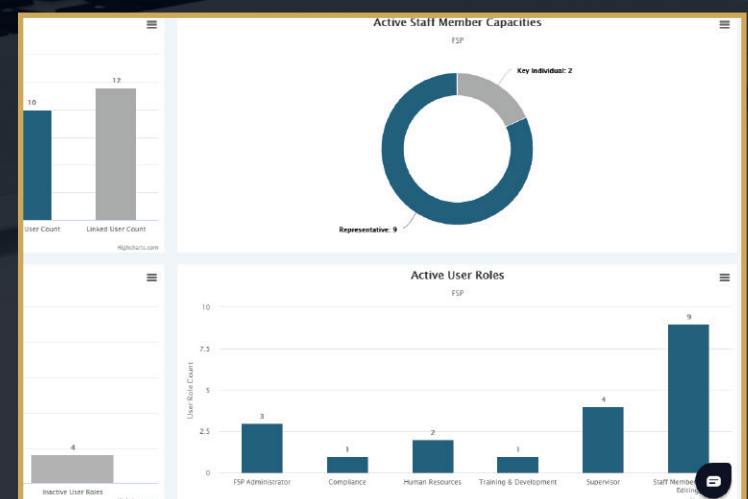
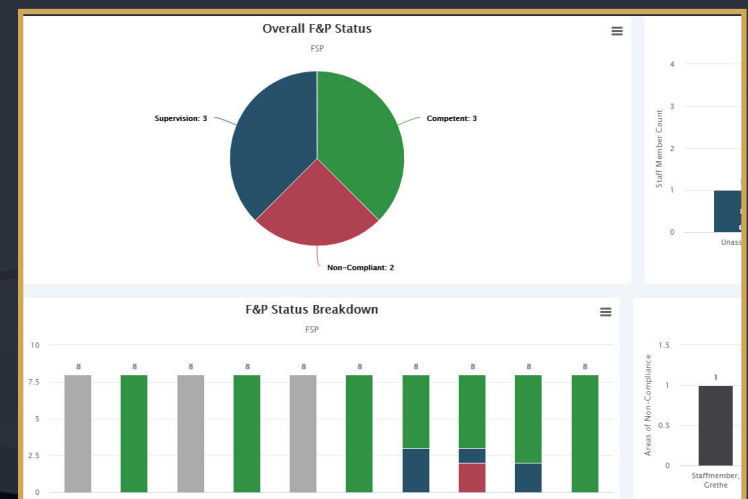
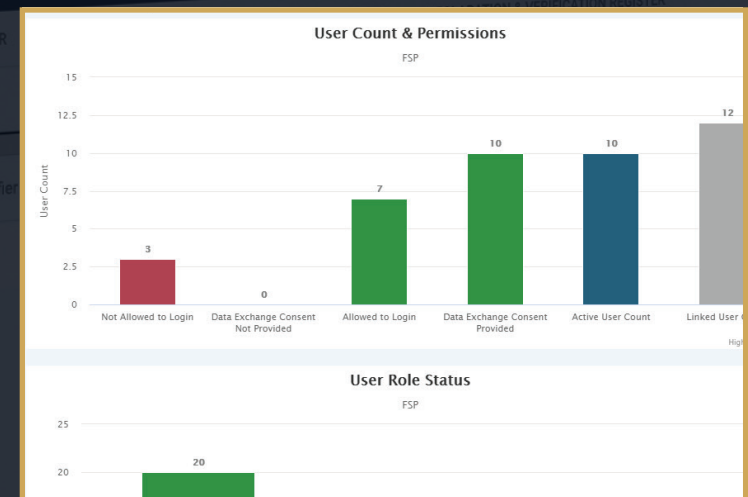
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Fit & Proper Manager Features



Export data to the FSCA's Central Rep Register

- Keep your FSP's Rep Register aligned with that of the FSCA's Central Rep Register
- Communicate updates to your Rep Register at the click of a button



Import data from the FSCA's Central Rep Register

- Import your staff's data from the FSCA directly into your FSP's competence register
- Assess your representatives' compliance status by importing their DOFAs and relevant competencies to their profiles



Import data from Moonstone's Examination Body and Business School

- Ensure that your FSP's competence register is up to date, by importing completed Regulatory Examinations from Moonstone's Examination Body
- Import completed Class of Business training, qualifications and CPD activities directly from Moonstone's Business School



Assess and monitor compliance

- The application automatically assesses a representative's Fit & Proper status and compliance based on their captured authorisations and competencies
- Real-time updates of reports allow for the monitoring of competencies, issues of non-compliance, supervision activities and any approaching deadline dates



Record data

- Capture records and upload supporting documents of completed qualifications, Class of Business training, Regulatory Examinations, product specific training and CPD activities
- Verification controls and a full audit trail of changes to records allows for oversight



HIGS declarations

- Configure, monitor, and keep track of your FSP's Honesty, Integrity, and Good Standing declarations
- Send email notifications prompting your representatives to submit their HIGS declarations online



Attestations

- Configure your own attestations for representatives to complete online
- Send preconfigured Conflict of Interest, General Code of Conduct, and Fit & Proper attestations



Live chat and support

- Live chat widget
- Assistance provided to your staff in real-time

Fit & Proper Manager Features



Documents

- Allow your representatives to electronically sign and download their Disclosure Documents, Section 13 Mandates, and other documents
- Options to customise electronic documents are available



CPD activities

- Prevent the duplication of CPD records by selecting completed CPD activities from a CPD pick list
- Required CPD hours are automatically calculated based on regulatory requirements, exemptions, and any interruptions to financial services



To-do list

- Auto-generated to-do lists for your representatives
- Send to-do list email notifications to your representatives



Representatives under supervision

- Generate and electronically sign supervision contracts and completed supervision activities
- Auto-schedule supervision activities and monitor the entire end-to-end supervision process



Dashboards and reports

- Monitor your FSP's progress by way of dashboards and informative reports
- Options to customise reports to your specifications are available



Granular permissions and shared views

- User role permissions permit shared views across your FSP's business units.
- FSPs grouped within the same group of companies makes for simplified data capturing



System integrations and branding

- Schedule the importation of data from your existing databases to the application
- Adding your FSP's logo and other branding options are available



Debarment

- Track debarment proceedings within your FSP
- Assign tasks and monitor the entire end-to-end debarment process

MOONSTONE

— SOFTWARE SOLUTIONS —

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Technology
Innovation
SYSTEM

Innovation
Building
Solution
Marketing
Analysis
Ideas
Success
Management