

Guide to the Compli-Serve TestZone- FICA TESTING

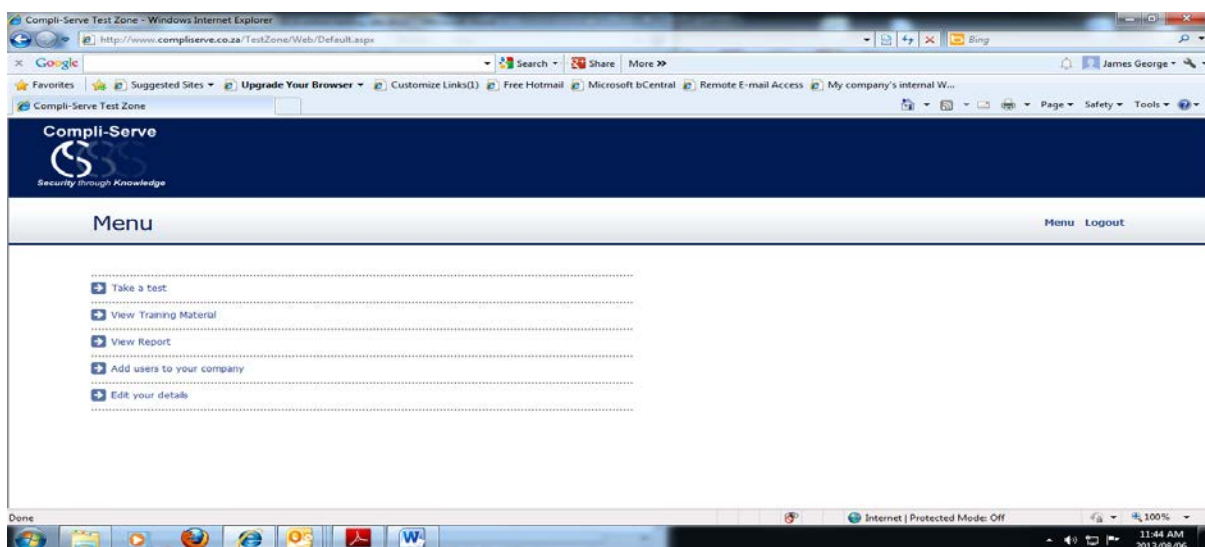


NOTES FOR MAIN USER

The Money Laundering Reporting Officer (MLRO) of each FSP is usually assigned as the 'Main User' of the testing facility. The Main User will then have the responsibility to load additional users within their organization. After completion of each test attempt the Main User (MLRO) will receive an automatically generated email detailing the results of the test taken by the user. The MLRO will be able to draw an overall report of the specific FSP's test results over any given period.

- Main users are responsible for uploading their own sub-users. Main users are able to do this when they logon to the site with their "Main user" login details.
- Main Users are also able to draw a report of the test results of their sub-users by using their main user login details and clicking on "view report". This report may be printed off the site.
- Depending on the number of users, they may either be loaded manually by the firm's MAIN USER or via a bulk upload spread sheet (for 25+ users only)
- If the client wishes to "Bulk-upload" a spread sheet will be sent by Compli-Serve to the client. The spreadsheet must be completed in full and accurately in order for the loading of the data to take place. If any emails are inaccurate, the user will not receive an automatic email with their login details. (whenever a bulk upload is done, the users listed on the spread sheet will receive an auto email complete with all login details)

THE MENU



VIEW TRAINING MATERIAL

Please ensure you have read any training material provided for completing a test.

The screenshot shows a Windows Internet Explorer browser window displaying the 'Compli-Serve Test Zone - Training Material' page. The page lists training materials in four categories, each with a table of details.

FICA for Accountable Institutions

Name	Extension	Version	Subject	Added
FICA Internal Rulebook	.9.pdf	2.9	FICA for Accountable Institutions	03-Apr-2013
Financial Intelligence Centre Guidance Note 3A- Guidance for accountable institutions on client identification and verification and related matters	.pdf	1.1	FICA for Accountable Institutions	03-Apr-2013

FICA for Non-Accountable Institutions

Name	Extension	Version	Subject	Added
FICA manual for non-accountable institutions DUTY TO REPORT SUSPICIOUS & UNUSUAL TRANSACTIONS: obligations in terms of Part 3 of the FIC Act	.pdf	1.1	FICA for Non-Accountable Institutions	03-Apr-2013

FICA Testing - Investment

Name	Extension	Version	Subject	Added
FICA Internal Rulebook	.9.pdf	2.9	FICA Testing - Investment	03-Apr-2013
Financial Intelligence Centre Guidance Note 3A- Guidance for accountable institutions on client identification and verification and related matters	.pdf	1.1	FICA Testing - Investment	03-Apr-2013

Money Laundering Reporting Officer (MLRO) Training

Name	Extension	Version	Subject	Added
FIC PUBLIC COMPLIANCE COMMUNICATION No. 18 (PCC 18) --TRAINING AND APPOINTMENT OF A COMPLIANCE OFFICER (MLRO) BY ACCOUNTABLE INSTITUTIONS IN TERMS OF SECTION 43 OF FICA	.pdf	1.1	Money Laundering Reporting Officer (MLRO) Training	03-Apr-2013
FIC Public Compliance Communications	.doc	2012-2013	Money Laundering Reporting Officer (MLRO) Training	03-Apr-2013
FICA Internal Rulebook	.9.pdf	2.9	Money Laundering Reporting Officer (MLRO) Training	03-Apr-2013
Financial Intelligence Centre Guidance Note 3A- Guidance for accountable institutions on client identification and verification and related matters	.pdf	1.1	Money Laundering Reporting Officer (MLRO) Training	03-Apr-2013
Gazette 9386 - Amendment of Money Laundering and Terrorist Financing Control Regulations	.pdf		Money Laundering Reporting Officer (MLRO) Training	03-Apr-2013

TAKE A TEST

The screenshot shows the 'Compli-Serve Test Zone - Take Test' page. A 'Subject' dropdown menu is open, showing options: 'All', 'FICA for Accountable Institutions', 'FICA for Non-Accountable Inst', 'FICA Testing - Investment', and 'Money Laundering Reporting O'. Below the dropdown, there are four sections, each with a table of available tests.

FICA for Accountable Institutions

Name	Pass Perc.	Time Allowed	Review Time
FICA for Accountable Institutions	60%	45 min	10 min

FICA for Non-Accountable Institutions

Name	Pass Perc.	Time Allowed	Review Time
FICA for Non-Accountable Institutions	70%	30 min	10 min

FICA Testing - Investment

Name	Pass Perc.	Time Allowed	Review Time
FICA Testing - Investment	60%	45 min	10 min

Money Laundering Reporting Officer (MLRO) Training

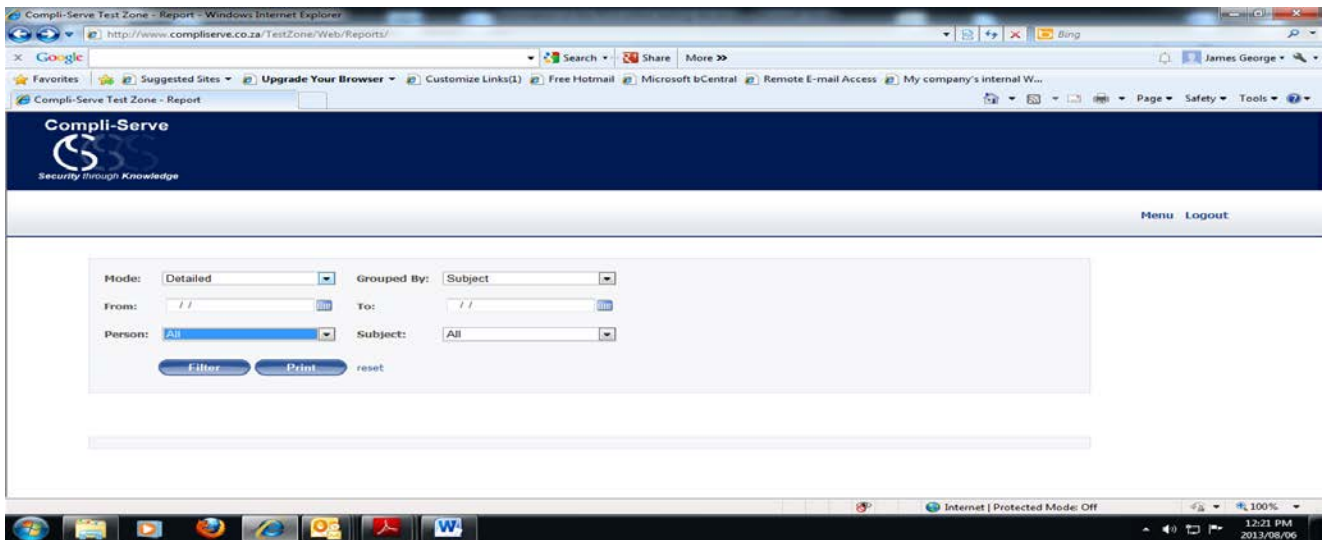
Name	Pass Perc.	Time Allowed	Review Time
Money Laundering reporting Officer (MLRO) Training	60%	55 min	10 min

There are four tests on the system.

- Every time a test is taken, a random set of questions is drawn from the bank of questions.
- Users can take the tests as many times as they wish.
- Each user is able to view the results of the particular tests they have taken – including a break- down of the questions and answers.

VIEW REPORT

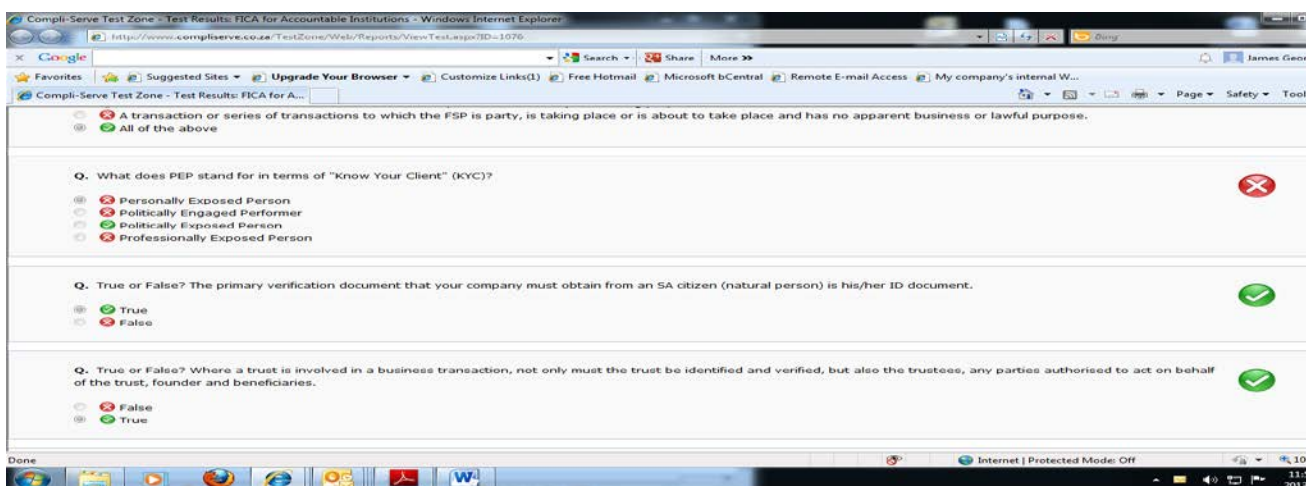
Under **VIEW REPORT** you are able to view and print a report of all your test results and see where you answered the questions incorrectly. Refer below.



	Name	Questions	Correct	Incorrect	Result	Pass Percent	Date
	FICA for Accountable Institutions	34	32	2	94	60	07-Jul-2011 09:29

Produce a detailed report on a specific test. (Just remember to click on the relevant test undertaken)

Tip- Under 'SUBJECT' always choose 'ALL'.



FAQs

Is there a SAVE FACILITY on an uncompleted test?

Unfortunately not at this stage however there are plans to introduce a SAVE facility in due course.

Are there certificates of proficiency issued for successful completion of tests?

No not at this stage but we are in the process of applying for CPD status with the FSB. Once the FSB's CPD regime kicks in I am certain a facility will exist in this regard.

Am I able to view where I went wrong- the questions I got correct vs. incorrect?

Yes via the VIEW REPORT facility as stated above in this user guide.

Will results be filtered up to the FSB's supervision department?

No this is merely a refresher training exercise which must be completed once a year for your own internal compliance requirements.

Which of the four (4) tests are applicable to me?

Compli-Serve has enhanced its FICA online awareness training and testing facility for all categories of Financial Services Providers. All authorized users will be able to view and download training material and complete an online FICA Test. The online tests will be divided in the following 4 categories:

- General FICA awareness Testing for accountable institutions- for IFAs, insurance professionals
- FICA Reporting Awareness Testing for non-accountable institutions for representatives who only deal with health service benefits and/or short term insurance
- Money Laundering Reporting Officer "MLRO" exclusively for money laundering officers only
- Investments/ Banking for accountable institutions investments only (no insurance)

Can I do more than one test?

Yes, users may complete as many tests as they choose.

Can I change and edit my login details?

Yes you can EDIT YOUR DETAILS via the MENU page.

Please note: If a user forgets their password, they are able to contact Compli-Serve SA for their username only.