

MOONSTONE

— COMPLIANCE AND RISK MANAGEMENT —

A photograph of three men in business attire standing on a balcony or rooftop, looking out over a city skyline. The scene is dimly lit, suggesting dusk or dawn, with the city lights visible in the background. The men are silhouetted against the light, and their reflections are visible on the wet surface of the balcony floor. The overall mood is professional and contemplative.

We are the Largest Independent
Provider of Compliance Services in
South Africa

Welcome to Moonstone

Thank you for considering Moonstone Compliance and Risk Management as your service provider.

Since the company's inception, Moonstone Compliance and Risk Management has set a very high standard for the delivery of compliance and licensing services to the financial services industry. The company has positioned itself as an industry leader, well-known for delivering professional compliance and licensing solutions to its clients.

Why Moonstone Compliance

Moonstone Compliance and Risk Management takes pride in the value added compliance services that it provides to its clients. We are committed to ensure compliant and satisfied clients, and by doing so, to strengthen our reputation as the outsourced compliance practice of choice.

Moonstone Compliance and Risk Management has over the years become synonymous with quality service that our clients can rely on. Our continued quest for excellence is a product of the company's values and ethics driven organisational culture.

Our experienced compliance officers and support staff are able to adapt to ever changing circumstances and compliance needs.

We are dedicated to following a holistic approach which enables us to offer you an unsurpassed depth of expertise and technical knowhow. We are confident that our expertise will exceed your expectations.

Moonstone Compliance is:

- ☉ the leader in the compliance risk management industry
- ☉ the largest independent provider of compliance services in South Africa
- ☉ the longest established compliance service provider in the industry
- ☉ Uncompromised and Independent

How will your company benefit from our services?



Experienced compliance specialists



FICA training and assessment



Industry & legislation updates



Workshops & seminars



FSB Licensing & profile changes



Suite of supporting documents and procedures

Our team of specialists service over 1, 500 companies nationwide which represent more than 12, 000 advisors. With increased regulatory requirements and new initiatives being introduced all the time, be better placed for the future with Moonstone Compliance and Risk Management, South Africa's outsourced compliance practice of choice.

We specialise in FAIS and FICA compliance and licensing solutions for all categories of financial services providers and other businesses in the financial services industry.

A complete solution for your compliance and licensing needs

Our respected standing may be attributed to our unique composition of experienced compliance officers and support staff with diverse legal and financial advisory backgrounds. This knowledge asset, coupled with the company's innovative approach to integrating the latest compliance practices into its services, will continue to see compliant and satisfied clients. We believe that Moonstone is ideally positioned to address your requirements.

Moonstone Compliance:

- ☉ has a thorough understanding of the compliance universe within which you operate.
- ☉ utilises the latest practice methodologies, and regularly update these in order to keep you aligned with statutory requirements.
- ☉ has experienced compliance officers countrywide that are able to conduct on-site visits and perform the required monitoring functions of your practice.
- ☉ specialises in FAIS and FICA compliance management - this allows us to focus on you, the client, and to adapt to your specific needs.
- ☉ maintains a professional relationship with the Regulator and other industry bodies. This puts the company in a unique position to promptly communicate important developments to you before they become effective.
- ☉ consists of legal experts and competent administrative staff, allowing the team to quickly collate raw data and to report on findings.

Call us and schedule a meeting to discuss your specific needs and to answer any other questions that you may have.



Billy Seyffert
Chief Operating Officer

Our Services



Comprehensive Compliance

We provide independent compliance solutions that empower our clients to focus on their business objectives with absolute certainty and peace of mind. Moonstone maintains its high service standards by adopting only the latest technologies, best practice methodologies and fostering good relationships with the Regulator.

We offer a complete solution that aligns seamlessly with existing business structures to supervise the establishment and ongoing maintenance of your organisation's compliance function. We partner with your business to ensure the accurate identification, monitoring and mitigation of your organisation's regulatory compliance risk. Rest assured that our professional staff will always keep you one step ahead through our regular feedback reports, news on industry developments and by providing expert advice when you need it most.



Protector

Moonstone's Protector Service is a FAIS and FICA compliance solution that is specifically developed for Financial Services Providers that are not required to appoint a Compliance Officer. Packed with features to make sure your business is always protected, this webbased service takes the hassle out of compliance by prompting the user to complete short self-assessments on a regular basis. Let the Protector Service help you take control of your compliance function.

Features include: Self-Assessment Compliance Monitoring | Powerful Reports | Reminders of Important Dates | Seminars and Workshops | FICA Awareness Training | Access to Compliance Policies and Templates | Newsletters | Compliance Helpdesk Support



Consultancy

Require quick expert advice or professional assistance? Contact Moonstone for all your governance, risk management and compliance needs.

Our consultancy team consist of a diverse group of highly qualified and experienced professionals in the fields of law, risk management, financial services, corporate governance and training.

Services include: Support and Monitoring Services to Internal Compliance Officers | Structuring of Compliance Frameworks | Independent Compliance Reviews and Audits | Formal Compliance Opinions | Policy Development and Management | Bespoke Risk Management Plans



Licensing

To operate in the financial services industry, all Financial Services Providers are required to be authorised by the Financial Services Board. Both the trading entity and the individuals involved need to satisfy stringent licensing requirements prior to rendering financial services. Every licence application has its own unique challenges and we will guide you through the requirements to ensure an efficient process.

Services include: Licence applications for Category I, Category II, Category IIA, Category IV and Foreign FSPs | Profile changes and updates on the FSB registry; including changes to the FSP's personnel and structure, updates to business and contact details, and the addition / variation of financial products.

Contact us

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About Moonstone Compliance (Pty) Ltd:

Moonstone Compliance (Pty) Ltd, a subsidiary of Moonstone Information Refinery (Pty) Ltd, was started by industry pioneers Hjalmar Bekker and Jansie Moolman in 2002.

Since the company's inception, Moonstone Compliance and Risk Management has set a very high standard for the delivery of compliance and licensing services to the financial services industry. The company has positioned itself as an industry leader, well-known for delivering professional compliance and licensing solutions to its clients.

What we do:

We specialise in financial services, regulatory compliance and licensing solutions for all categories of financial services providers and other businesses in the financial services industry.

With more than 14 years of practical experience of regulatory and business support, we provide expert guidance through the delivery of top quality services.

We are Uncompromised and Independent and employ the latest technology, processes and solutions to provide an unparalleled level of support. As part of the Moonstone Group, we have the best possible platform and infrastructure to deliver the comprehensive support financial services businesses need, now and long into the future.