USER GUIDE ON HOW TO APPLY FOR THE PERMITTED FINANCIAL SERVICES IN TERMS OF THE FINANCIAL INTELLIGENCE CENTRE ACT, 2001
Objective of this guideline

The objective of this user guide is to define and outline the steps to be followed when applying for the permitted financial services in terms of section 26C of the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001) (FIC Act).

This user guide is applicable to the following persons/institutions:

- Accountable institutions (AI) listed in Schedule 1 to the FIC Act
- Reporting institutions (RI) listed in Schedule 3 to the FIC Act
- The Public

Access to the Targeted Financial Sanctions List

The AI / RI / the Public at large must access the portal provided by the Financial Intelligence Centre (FIC) for this purpose on the FIC’s website at www.fic.gov.za.

Legal Disclaimer

The FIC reserves the right to amend, modify or change the contents of this document.
Definitions
This guideline must be read in conjunction with the FIC Act, and Guidance Note 07. In this guideline, unless the context indicates otherwise:

“Applicant” refers to a person or entity listed in the Targeted Financial Sanctions List or a third party prejudiced by the sanctions imposed.

“Permitted Financial Services (PFS)” refers to an application to permit a person to conduct financial services or deal with property in the circumstances permitted in terms of section 26C of the FIC Act.

“Targeted Financial Sanctions (TFS)” refers to the measures to restrict sanctioned persons and entities from having access to funds and property under their control and from receiving financial services in relation to such funds and property by requiring accountable institutions, reporting institutions and other persons to freeze property and transactions pursuant to financial sanctions imposed in the United Nations Security Council (UNSC) Resolutions.

“The Targeted Financial Sanctions List” refers to the list of persons and entities provided and maintained by the FIC.
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2. **Introduction**

The FIC Act allows the Minister of Finance to permit a sanctioned person or entity to conduct financial services or deal with property affected by a sanction in order to allow such a person or entity access to certain basic living expenses. The Minister of Finance may also permit the provision of financial services or the dealing in affected property which are not related to providing for basic living expenses, but which are necessary in the normal course of business e.g. allowing for the accrual of interest or other earnings or are necessary in order to avoid prejudice to third parties, e.g. contractual payments which predate the imposition of a sanction.

2.1. **Prerequisites**

The permitted financial services functionalities is compatible with Internet Explorer version 9 and up, Firefox, Google Chrome. Safari web browser is not supported. The URL (web address) must be added to the trusted sites and pop ups must be allowed to avoid the site being blocked.

2.2. **Permitted financial services web icons**

<table>
<thead>
<tr>
<th>Icons</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submit</td>
<td>Submit - Submit documentation</td>
</tr>
<tr>
<td>Clear</td>
<td>Clear - Clear documentation</td>
</tr>
<tr>
<td>Download Manual Form</td>
<td>Download manual form</td>
</tr>
</tbody>
</table>
3. Permitted financial services process flow

1. Applicant submits permitted financial services application form.
2. Evaluates the Application.
3. FIC communicates the application success / failure to Applicant.
4. Application Closure.
4. **Accessing the permitted financial services**

The Targeted Financial Sanctions List can be accessed by all interested parties. This includes AIs / RIs and the public. No authentication is required before gaining access to the Targeted Financial Sanctions List. To access the Targeted Financial Sanctions List:

- Go to the FIC website, [www.fic.gov.za](http://www.fic.gov.za), click “Targeted Financial Sanctions” from the Quick Links menu or

- Go to the FIC website, [www.fic.gov.za](http://www.fic.gov.za), click the “International” dropdown list and select “Targeted Financial Sanctions” from the drop-down menu.
5. Targeted financial sanctions list landing page

The landing page has the following visible items

- **Introduction to Targeted Financial Sanctions** - A brief description of the targeted financial sanctions[a]

- **Menu Bar** – What is TFS / Search the TFS List / Permitted Financial Services / Subscribe/Unsubscribe / Disclaimer / Frequently Asked Questions. Clicking any of the link items, populates the item description (e.g. click “What is Targeted Financial Sanctions”) [b]
• Quick Links - navigation links that must be clicked when navigating through the site
  Search / Download / Subscribe / Unsubscribe / Permitted Financial Services. [c]
• Published Notices - contains Targeted Financial Sanctions published Notices. [d]

Quick Links

- Search
- Subscribe
- Unsubscribe
- Download List
- Application for Permitted Financial Services

Published Notices

<table>
<thead>
<tr>
<th>Name</th>
<th>Filter Published Notices</th>
</tr>
</thead>
<tbody>
<tr>
<td>NewIndividualAdded 1966.pdf</td>
<td></td>
</tr>
<tr>
<td>NewEntityAdded 241-48.pdf</td>
<td></td>
</tr>
<tr>
<td>NewIndividualAdded 1966.pdf</td>
<td></td>
</tr>
<tr>
<td>IndividualUpdated 19654.pdf</td>
<td></td>
</tr>
<tr>
<td>IndividualDeleted 19655.pdf</td>
<td></td>
</tr>
</tbody>
</table>

Showing 1 to 5 of 132 entries

Published Notices

- Explore Targeted Financial Sanctions - contains the navigation links with detailed information of TFS related topics. [e]

Explore Targeted Financial Sanctions

About Targeted Financial Sanctions
- What is Targeted Financial Sanctions
- South African Legal Framework
- Mechanisms for Implementation
- United Nations Security Council Sanction Regimes

Targeted Financial Sanctions List
- The Targeted Financial Sanctions List
- Screening
  - Online Search Tool
- Notifications of changes to the List
  - Subscribe to receive Alerts
- Reporting obligations
  - Reporting to the Financial Intelligence Centre
  - Methods to Submit a Report
  - Time Period for Submitting a Report
  - Offenses for Failure to Report

Applications for Permitted Financial Services
- Application for Permitted Financial Services and Third-Party Contractual Agreements
- Manual to complete the Application Form for Permitted Financial Services
- Wrongfully Frozen Assets

Contact and Links
- Contact Us
- Useful Links

Frequently Asked Questions
6. The permitted financial services application form

To complete the permitted financial services application form for a listed person / entity on the Targeted Financial Sanctions List, users can use the Manual or Online application process. To complete the manual or online application for permitted financial services:

- Click the Permitted Financial Services from the menu bar > click the second Click here to apply for permitted financial services link.

![Image of menu bar with Permitted Financial Services highlighted]

The Application for Permitted Financial Services window populates, the window includes the manual application for permitted financial services form. The details of how to download the manual application for permitted financial services form and completing the online application for permitted financial services form will be discussed in detail next:

6.1. Download the manual permitted financial services application form

- To download the manual application for permitted financial services form > click Download Manual Form > print the manual application for permitted financial services form and attach additional documents described in Appendix A.
6.2. Capturing the online application for permitted financial services form

Before submitting the application for permitted financial services form the following fields must be captured:
• Application Full Names - The applicant’s full names
• E-mail Address - The applicant’s email address
• Person / Entity on Targeted Financial Sanctions List pursuant to section 26A of the Financial Intelligence Centre Act - Automatically generated from the person / entity Targeted Financial Sanctions List search (refer to search for a listed person and search for a listed entity on how to the search the Targeted Financial Sanction List)
• Search - Search Targeted Financial Sanctions List for person / entity
• Clear - Clear the Targeted Financial Sanction List for person / entity
• Relations to person/entity - Describe the relationship with listed person / entity (e.g. brother, sister)
• Institution(s) holding assets - The name of institution (s) where (i.e. accounts, trust) are held (e.g. XYZ Bank)

• Foodstuffs – the applicant’s food or items that constitute foodstuffs
• Rent or Mortgage - the applicant’s rental or mortgage cost
- Medicines or medical treatment – the applicant’s medical treatment or medication cost
- Taxes – the applicant’s SARS income and other tax-related costs
- Insurance premiums – the applicant’s insurance monthly premiums
- Public utility charges – the applicant’s municipality cost (i.e. electricity, rates, water and sanitation, etc.)
- Maintenance order - the applicant’s order of court indicating amount of monthly maintenance

<table>
<thead>
<tr>
<th>Reasonable professional fees</th>
</tr>
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<tbody>
<tr>
<td>Reimbursement of expenses associated with provision of legal services</td>
</tr>
<tr>
<td>Satisfy Judgment or arbitral award</td>
</tr>
<tr>
<td>Payment to a third party due under contract</td>
</tr>
<tr>
<td>Accrue interest or other earnings due on accounts</td>
</tr>
<tr>
<td>Payment due to a person or entity affected by a prohibition</td>
</tr>
<tr>
<td>Other Expense</td>
</tr>
<tr>
<td>Other Expense Total Amount</td>
</tr>
<tr>
<td>Total Amount Required</td>
</tr>
</tbody>
</table>

- Reasonable professional fees – the applicant’s professional costs (i.e. could include school or tertiary fees, etc.)
- Reimbursement of expenses associated with provision of legal services – costs of legal services
- Satisfy judgement or arbitral award – costs related to judgment or arbitral awarded that occurred before the person was listed in the Targeted Financial Sanctions List
- Payment to a party due under contract – cost of 3rd party payments, contract or agreement made before the person was listed in the Targeted Financial Sanctions List
- Accrue interest or other earnings due on accounts - interest or other earnings due on accounts holding property affected by prohibition in terms of section 26B
- A payment due to a person / entity affected by a prohibition under section 26B through a contract or agreement made before person listed by UNSC provided the payment is not paid to the person / entity listed - a copy of a contract, agreement or other documents indicating financial obligation
- Other expenses
- Other expense total amount – the total amount of the other expenses
- Total Amount Required

<table>
<thead>
<tr>
<th>Obligatory Supporting Documentation to accompany this application</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A copy of the Applicant's Identity Document or Passport</td>
</tr>
<tr>
<td>2. A declaration by an affidavit declaring</td>
</tr>
<tr>
<td>a) the applicant’s interest in the property</td>
</tr>
<tr>
<td>b) all the applicant’s assets and liabilities and</td>
</tr>
<tr>
<td>c) that the applicant cannot meet the expenses out of property not subject to section 26B.</td>
</tr>
<tr>
<td>If the applicant is a third party, the following document must accompany this application -</td>
</tr>
<tr>
<td>1. Copy of judgment, award, contract or agreement, as may be applicable</td>
</tr>
</tbody>
</table>

6.3. Uploading documentation
Obligatory supporting documents must be uploaded to accompany the application

6.3.1 In instances where the applicant is a listed person or entity applying for permitted financial expenses, an application **must** be accompanied by:

- a copy of the applicant’s identity document or passport;
- a declaration that the applicant cannot meet the expenses out of property that is not subject to section 26B;
- a full disclosure by the applicant of his/her interest in the property;
- a sworn and full statement of all the applicant’s assets and liabilities;

6.3.2 If the applicant is a third party, a copy of the judgment award, contract or agreement, as may be applicable, must be uploaded.

Click Choose File button
• Click the document (e.g. ID Copy) > click **Open**

![Image of opening a document](image1.png)

• The selected document will be visible > Click **Upload**

![Image of uploading a document](image2.png)

• The uploaded document will be visible, the file size for uploading documentation is 5MB. To delete the document select the document > Click **Delete**

![Image of deleting a document](image3.png)

• To submit the document > Click **submit**

![Image of submitting a document](image4.png)

• A message confirming successful submission of the application populates

"Your information was successfully submitted, reference number is PFS-157-08/01/2019"
6.4. Email notification

- An email notification confirming the successful submission of the application will be sent to the applicant’s email address, the email includes the permitted financial services application reference number that should be used when making application enquiries.

![Email notification example]

6.5. Search for a listed person

The search functionality is used to search a person or entity that is listed. The application for the permitted financial services is made to access the funds of the listed person or entity. To search for a listed Person:

- Click the Search Button

![Search functionality example]

- The search FIC TFS list window populates, with the Search Person and Search Entity tab. The search person tab has two fields, Name and ID / Passport Number. Listed person can be searched using Names or ID / Passport Number.
- Type in the name (e.g. Kim) > click **Search Person** > a list of names with the searched keyword populates

- Select the listed person (click the checkbox) > click the **Ok**

- The selected listed person will be visible in the text field > click the **Clear button** to remove the selected name
6.6. Search for a listed entity

The search functionality is used to search a person or entity that is listed. The application for the permitted financial services is made to access the funds of the listed entity. To search for a listed **Entity**

- Click the **Search Button**

![Search FIC TFS list window](image)

- The search FIC TFS list window populates, with the **Search Person** and **Search Entity** tab. The search entity tab has one field, **Name**. Listed entity can be searched using the Name of the listed entity.

![Search FIC TFS list](image)

- Type in the name (e.g. Bureau) > click **Search Entity** > a list of names with the searched keyword populates

![Search FIC TFS list](image)
- Select the listed entity (click the checkbox) > click the Ok

- The selected listed entity will be visible in the text field > click the Clear button to remove the selected name
7. Permitted financial services support

For PFS support contact the FIC:

Log a web query: Click HERE for queries

-ENDS-

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