



# OCCUPATIONAL CERTIFICATE: FINANCIAL MARKETS PRACTITIONER

SAQA Qualification ID 93603  
NQF LEVEL 7

EXTERNAL INTEGRATED SUMMATIVE ASSESSMENT (EISA)

EISA APPLICATION FORM

**Please note:**

- All candidates have to complete Sections A and D
- All candidates who have completed the Advanced Diploma in Financial Markets are required to complete Section B
- All candidates who apply for the EISA through recognition of prior learning (RPL) are required to complete Section C

The EISA exam numbers will only be issued once proof of payment of the required exam fee has been received.

All candidates must indicate for which exam you are applying:

Exam	Year
First examination	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Second examination	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

## SECTION A

### LEARNER DETAILS

Title			
Surname			
First name(s)			
Identity number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
or			
Passport number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>
Are you a SA citizen?	YES	NO	
If not, what is your nationality?			
Gender:	Male	Female	
Population group	African	Indian	
	Coloured	White	
Other: (Please specify)			
Cell number			
Work number			

email address (h)

email address (w)

Work address:

Postal code:

Postal address:

Postal code:

Home (physical) Address:

Postal code:

Do you have a disability as contemplated by the Employment Equity Act 55 of 1998

YES

NO

If yes -

Please specify

Do you have special needs that need to be considered for the EISA?

YES

NO

If yes, please provide a detailed description of your needs. Please attach a medical certificate confirming your situation.

## SECTION B

### CANDIDATES WHO HAVE COMPLETED THE ADVANCED DIPLOMA IN FINANCIAL MARKETS

#### Knowledge and practical skills

At which institution did you complete the Advanced Diploma in Financial Markets?

Have you been granted exemption of any of the modules of the Advanced Diploma?

YES NO

If yes, please specify the modules from which you were exempted.

1

2

**Please attach proof of exemption**

3

4

Please attach your statement of results indicating the modules that you have passed.

#### Work experience

Are you registered and participating in the Occupational Certificate: Financial Markets Learnership 01/Q010044/00/120/7

YES NO

If yes - please specify the date you started the learnership

Name of employer you are registered for the learnership

Name of mentor/s and/or supervisor/s

Telephone number of mentor/supervisor

Email address of mentor/supervisor

Please attach the workplace report signed off by your mentor/supervisor.

If you did not participate in the learnership, but have a year or more work experience in the financial markets, please provide the following information.

Total years' work experience in the financial markets						
Name of current employer						
Current position						
Date appointed in current position	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of current supervisor/manager						
Contact number of current supervisor/manager						

Please attach the following documents:

- a) A complete CV indicating all work experience in the Financial Markets. Provide details of your responsibilities in each position. Provide contact details of previous supervisors/managers and activities performed in each of these areas.
- b) A completed workplace experience report (report available on [www.SAIS.co.za](http://www.SAIS.co.za))

## SECTION C

### CANDIDATES WHO APPLY FOR RECOGNITION OF PRIOR LEARNING (RPL) AND ENTRY INTO THE EISA

Please familiarise yourself with the RPL provisions for entry into the EISA before filling in this section.

#### Highest educational qualification

Name of qualification				
Field of study (if applicable)				
NQF level (if known)				
Name of institution				
Country where institution is located				
Year in which obtained	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please attach a certified copy of the certificate/diploma/degree

**Other qualifications (Registered Persons' Examination (RPE)) excluded)**

Name of qualification	Institution	Year obtained

**Registered Persons' Examination (RPE)**

Indicate which of the following modules of the RPE you have passed and the year in which you have passed.

Module	Passed (Tick)	Year	SAIS comments
The Regulation and Ethics of the South African Financial Markets		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Introduction to the Financial Markets		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
The Equity Market		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
The Bond Market		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
The Derivatives Market		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
The South African Money Market		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
The South African Foreign Exchange Market		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Agricultural Products Market Dealers Examination		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

**Other JSE Exams**

Module	Passed (Tick)	Year	SAIS comments
JSE Registered Securities Trader Exam		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
JSE Equity Compliance Officer Exam		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
JSE Derivatives Compliance Officer Exam		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
JSE Equity Settlement Officer Exam		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
JSE Bonds Settlement Officer Exam		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

Total years' work experience  
in the financial markets

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Name of current employer

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Current position

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Date appointed in current  
position

Name of current supervisor/  
manager

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Contact number of current  
supervisor/manager

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Please attach the following documents:

a) A complete CV indicating all the work experience in the Financial Markets. Provide details of responsibilities in each position. Provide contact details of previous supervisors/managers.

b) A completed workplace experience report (report available on [www.SAIS.co.za](http://www.SAIS.co.za))

## SECTION D

### ALL CANDIDATES

#### CONTACT DETAILS

How do you prefer to receive your results and certificate?

##### Results

Email

Post

Address

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##### Certificate

Will collect from SAIS office

Post

Address

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## DECLARATION

I confirm that the information in this application (and all supporting documentation) is, to the best of my knowledge, true and correct. I agree that:-

- a) If, at any time, I become aware that any of the information in this application (or supporting documentation) is incorrect or that it has changed in any way, I will notify SAIS immediately.
- b) If the information in this application (or supporting documentation) is incorrect, the application may be noted as invalid and SAIS shall not be bound by any decision it has reached based on such information.
- c) SAIS is entitled to suspend my entrance to EISA while an investigation is held in terms of my eligibility for applying for EISA.
- d) I may be subject to disciplinary action by SAIS in respect of incorrect or false information provided in this registration application.
- e) I consent, acknowledge and authorise SAIS to process my personal information in accordance to the Protection of Personal Information Act (2013) for the purpose of all requirements of a Professional Body, in this instance SAIS.

I understand that withholding of or failure to disclose personal information will result in SAIS being unable to perform its function and/or services or benefits as I may require from SAIS.

I understand the terms of POPI and all other laws of the country that there are instances where my express consent is not required in order to permit the processing of personal information, which may be related to police investigations, litigation or when personal information is publicly available. I will not hold SAIS responsible for any improper or unauthorised use of personal information that is beyond its reasonable control.

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

## BANKING DETAILS

First National Bank  
Bank City - 250805  
Account name: SAIS  
Account number:  
62050140492

## ATTACHMENTS REQUIRED

- Proof of payment (please note that invoices will only be issued on receipt of payment)
- Certified Identity document
- Certified Statement of Results from University of Johannesburg or any other approved Skills Development Provider (SDP)
- Workplace report signed by supervisor

*For recognition of prior learning*

- Certified copies of qualifications
- CV
- Workplace report

Applications should be emailed to: [learnership@sais.co.za](mailto:learnership@sais.co.za)



For office use:

Admission to the EISA  
granted:

YES

NO

Reasons for refusal to enter:

Exam number

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