



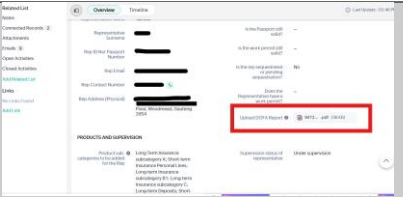


SOP – Retrieving DOFA Reports

Step #	Task	Responsibility	Tool/Template	Timeline	Notes	
1	Open FSCA e-Portal and navigate to FAIS	Any authorised staff member	FSCA e-Portal: https://www.fscac.o.za/Pages/Default.aspx → Regulated Entities → E-Services → FAIS	When assigned	Ensure you have a legitimate purpose and consent (POPIA).	
2	Log in to the e-Portal	Any authorised staff member (using Compliance Officer credentials)	FSCA e-Portal login	Immediately	Use the Compliance Officer's credentials.	
3	Select the correct FSP and open DOFA search	Any authorised staff member	FSCA e-Portal → Select FSP → "Search for DOFA"	Same session	Confirm FSP number and legal name match the client you're processing.	
4	Run the DOFA search by ID	Any authorised staff member	FSCA e-Portal DOFA Search	Same session	Enter the representative's ID number, confirm consent, and provide the reason for the search. Click "Search ID for Date of First Appointment (DOFA)".	

SOP – Retrieving DOFA Reports

5	Download and file the DOFA report	Any authorised staff member	Downloads folder on device; Zoho CRM – Rep Addition Requests	Immediately after Step 4	The PDF downloads to your Downloads folder. Rename DOFA_[Surname]_[ID]_[YY YYMMDD].pdf, upload it to the RA record field Upload DOFA Report, and capture the DOFA date in Zoho.	 A screenshot of a Zoho CRM interface. The page title is 'Overview' and the sub-header is 'Timeline'. On the right side, there is a section titled 'Download DOFA Report' with a red rectangular box highlighting a button labeled 'Download DOFA Report' and a date '2024-10-10 10:10:10'. Below this, there is a section titled 'PRODUCTS AND SUPERVISION' with a list of items and their details.
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