

<b>Registers</b>						
s 163(2)(b) & Reg 59	10.7	Does the credit provider maintain a register of its agents as required in terms of section 163(2)(b) and in accordance with regulation 59?				
Reg 60	10.8	Does the credit provider maintain a register of information in respect of each consumer as prescribed by regulation 60(2)?				
<b>Section F: Compliance and Reporting</b>						
<b>Statutory reporting</b>						
Reg 62 & 64	11.1	Did the annual disbursements of the credit provider exceed R15 million?				
Reg 62 & 64	11.2	If the answer to question 11.1 is yes, did the credit provider complete and submit the statistical return in Form 39 to the National Credit Regulator in respect of the quarters and by the due dates referred to in regulation 64?				
Reg 62 & 64	11.3	If the answer to question 11.1 is no, did the credit provider complete and submit the annual statistical return in Form 39 for the period 1 January to 31 December by the 15th of February for the reporting period?				
Reg 62 & 65	11.4	Did the credit provider submit its annual financial statements, including the auditor or accounting officer's report to the National Credit Regulator, within 6 months after the credit provider's financial year-end for the reporting period?				
Reg 62 & 66	11.5	Did the credit provider submit an annual financial and operational return in Form 40 to the National Credit Regulator, within 6 months after the credit provider's financial year-end for the reporting period?				
Reg 62 & 68	11.6	Did the credit provider submit an assurance engagement report as contemplated in regulation 68(2) to the National Credit Regulator, within 6 months after the credit provider's financial year-end for the reporting period?				
<b>Compliance Assurance</b>						
	12.1	Describe how the credit provider monitors compliance with the applicable provisions of the Act and / or Regulations, with specific reference to the following: <ul style="list-style-type: none"> <li>• Procedures and controls in place to ensure compliance,</li> <li>• Roles and responsibilities of key stakeholders, and</li> <li>• Internal reporting undertaken.</li> </ul> Attach your answer as a separate annexure and indicate the annexure number.				