




Financial  
Intelligence Centre

A large decorative graphic on the left side of the page, composed of various shades of blue and grey triangles and polygons, creating a complex geometric pattern.

**USER GUIDE ON HOW TO  
APPLY FOR THE PERMITTED  
FINANCIAL SERVICES IN  
TERMS OF THE FINANCIAL  
INTELLIGENCE CENTRE  
ACT, 2001**

**Private Bag X177, Centurion, 0046**

**+27 012 641 6000**

**www.fic.gov.za**

**For technical queries contact:**

**TFSsupport@fic.gov.za**

### **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](http://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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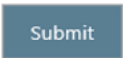


## 2. Introduction

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.

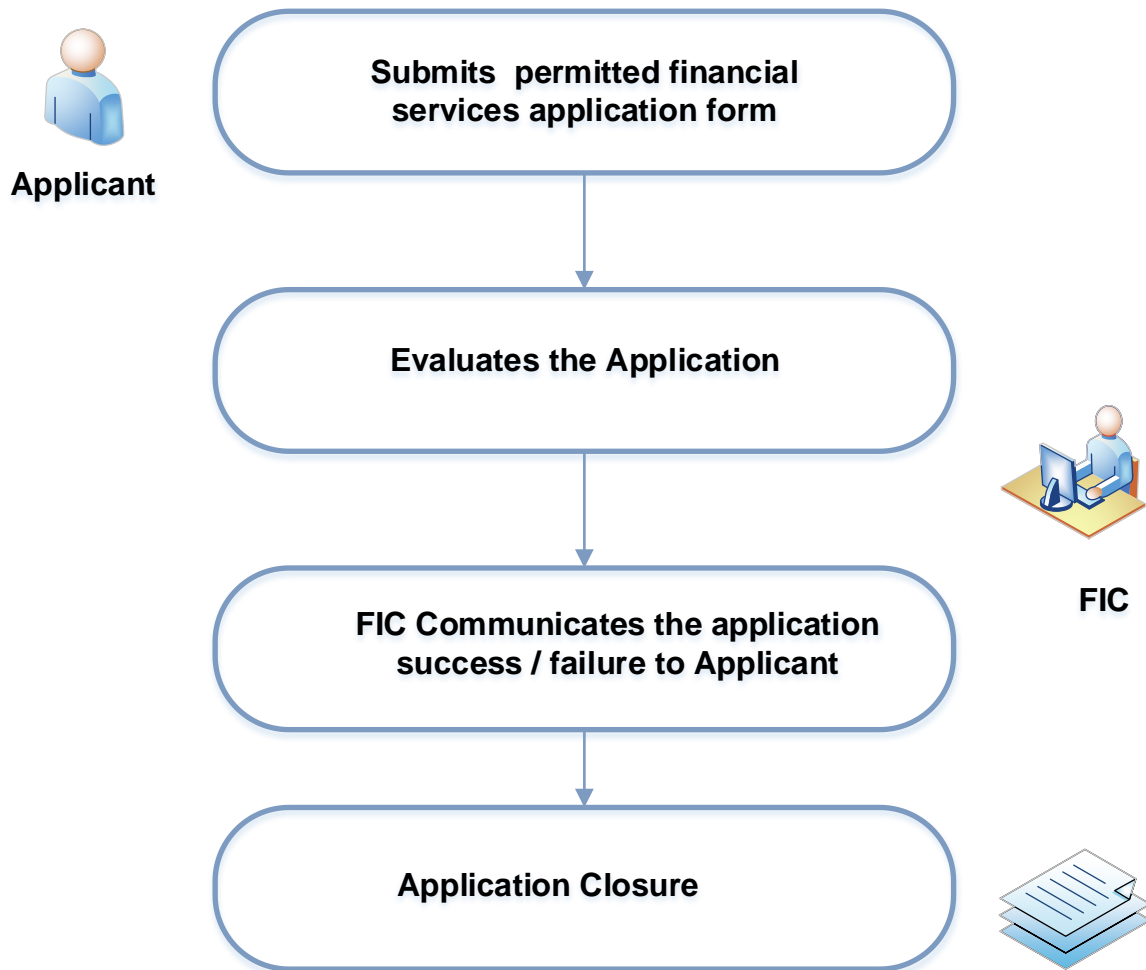
### 2.1. Prerequisites

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

Icons	Description
	Submit - Submit documentation
	Clear - Clear documentation
	Download manual form

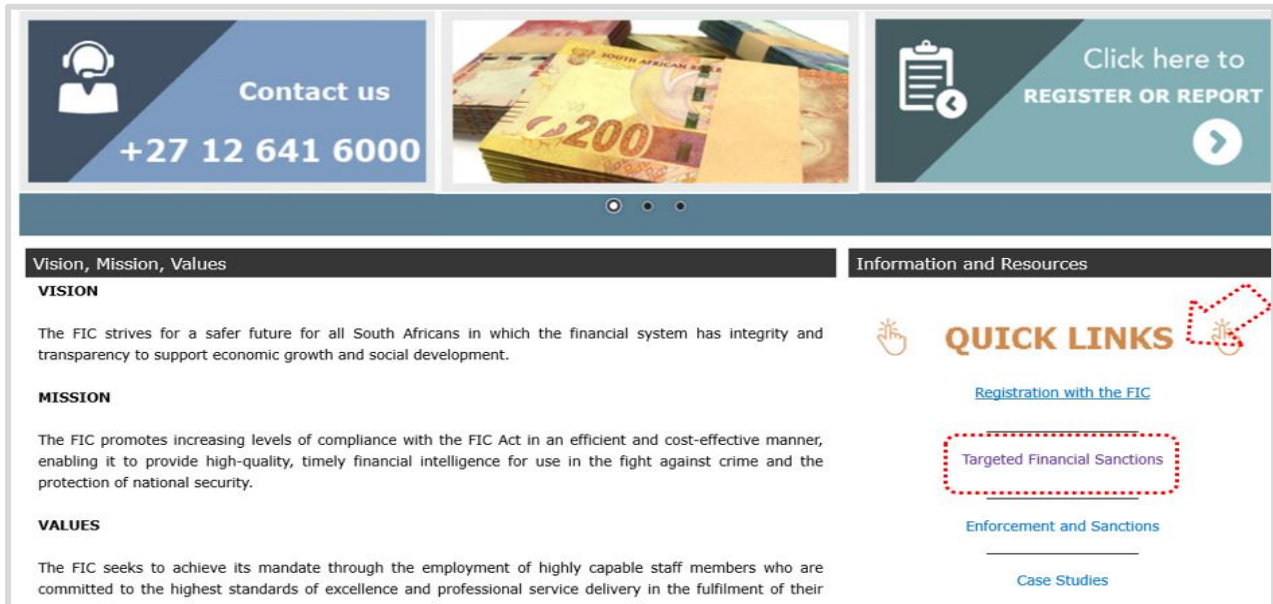
### 3. Permitted financial services process flow



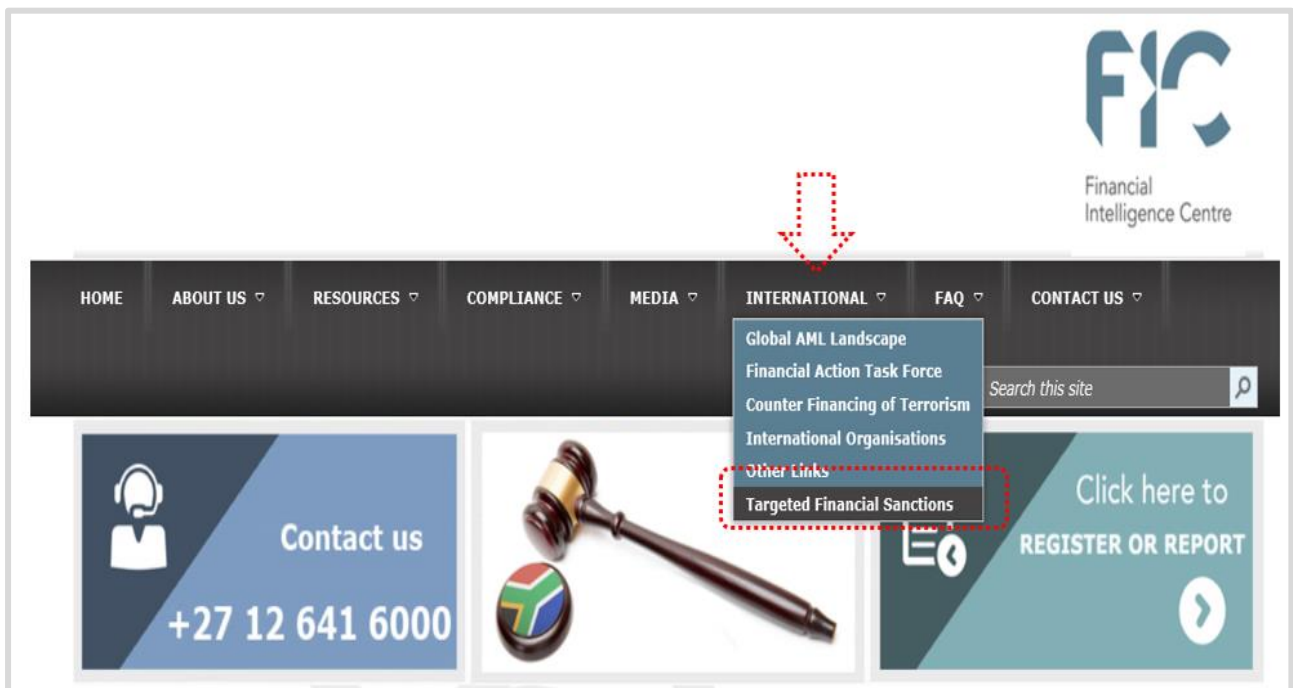
#### 4. Accessing the permitted financial services

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 <sup>[a]</sup>
- **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”)<sup>[b]</sup>

The screenshot shows the FIC website landing page. At the top right is the FIC logo and the text "Financial Intelligence Centre". Below this is a dark navigation bar with links: HOME, ABOUT US, RESOURCES, COMPLIANCE, MEDIA, INTERNATIONAL, FAQ, and CONTACT US. A breadcrumb trail reads "HOME > International > Targeted Financial Sanctions" and a search bar is present. Below the navigation bar are three promotional banners: "Contact us +27 12 641 6000", a keyboard image, and "Click here to REGISTER OR REPORT". A section titled "INTRODUCTION TO TARGETED FINANCIAL SANCTIONS" contains text explaining the purpose of TFS and a red bracketed note [a]. Below this is a disclaimer: "Please read the disclaimer carefully before using information on this page." A menu bar contains six items: [b] What is TFS, Search the TFS List, Permitted Financial Services, Subscribe/Unsubscribe, Disclaimer, and Frequently Asked Questions. A red arrow points from the "What is TFS" item to a modal window titled "What is Targeted Financial Sanctions?" which contains a detailed description of TFS and a "Click here" link for more information.



- **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...** [c]

Search    Subscribe    Unsubscribe    Download List    Application for Permitted Financial Services

**PUBLISHED NOTICES** [d]

Show  entries      Filter Published Notices:

Name
<a href="#">NewIndividualAdded.19658.pdf</a>
<a href="#">NewEntityAdded.24148.pdf</a>
<a href="#">NewIndividualAdded.19657.pdf</a>
<a href="#">IndividualUpdated.19654.pdf</a>
<a href="#">IndividualDeleted.19655.pdf</a>

Showing 1 to 5 of 132 entries      Previous  2 3 4 5 ... 27 Next

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

**EXPLORE TARGETED FINANCIAL SANCTIONS** [e]

**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**

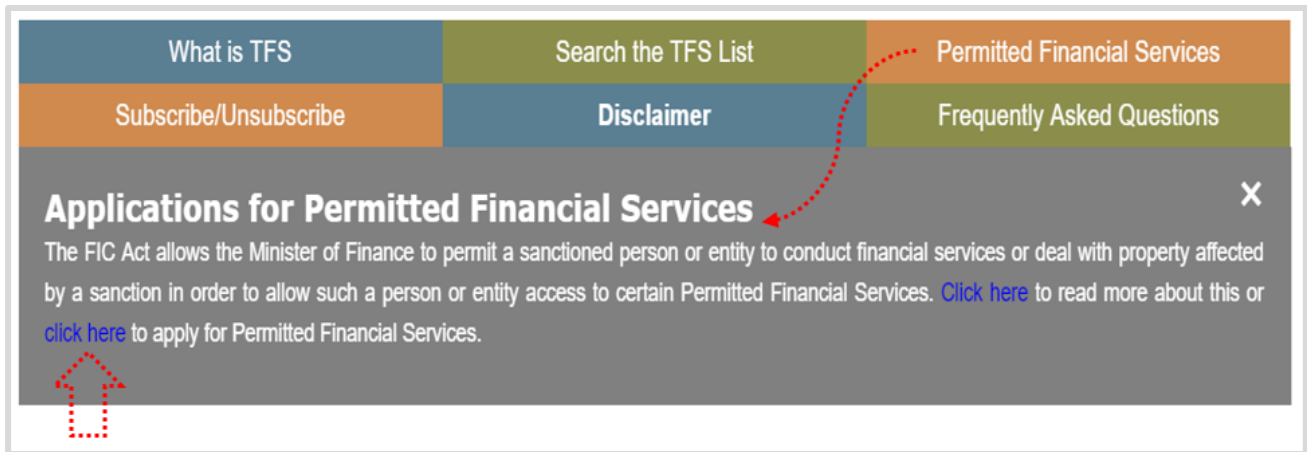
- [Contact Us](#)
- [Useful Links](#)

**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.



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](#).

[How to complete the Application Form for Permitted Financial Services](#)

Applicant Full Names \*

E-mail address \*

Contact number \*

Person/Entity on Consolidated List of Targeted Financial Sanctions pursuant to section 26A of the Financial Intelligence Centre Act, 2001 \*

Relations to person/entity \*

Institution(s) holding assets \*

Permitted financial services and dealing with property in terms of the FIC Act S26(C)  
Please enter required amount in ZAR

Foodstuffs

Rent or Mortgage

Medicine or medical treatment

Taxes

Insurance premiums

Public utility charges

Maintenance order

Reasonable professional fees

Reimbursement of expenses associated with provision of legal services

Safety Judgment or arbitral award

Payment to a third party due under contract

Accrue interest or other earnings due on accounts

Payment due to a person or entity affected by a prohibition

Other Expense

Other Expense Total Amount

Total Amount Required \*

**Obligatory Supporting Documentation to accompany this application**

1. A copy of the Applicant's Identity Document or Passport
2. A declaration by an affidavit declaring
  - a) the applicant's interest in the property
  - b) all the applicant's assets and liabilities and
  - c) that the applicant cannot meet the expenses out of property not subject to section 26B.

If the applicant is a third party, the following document must accompany this application -

1. Copy of judgment, award, contract or agreement, as may be applicable

Upload documentation

(File size must be less than 5MB)

## 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:

How to complete the Application Form for Permitted Financial Services

Applicant Full Names \*

E-mail address \*

Contact number \*

Person/Entity on Consolidated List of Targeted Financial Sanctions pursuant to section 26A of the Financial Intelligence Centre Act, 2001 \*

Relations to person/entity \*

Institution(s) holding assets \*

- 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)

Permitted financial services and dealing with property in terms of the FIC Act S26(C)  
Please enter required amount in ZAR

Foodstuffs	<input type="text"/>
Rent or Mortgage	<input type="text"/>
Medicines or medical treatment	<input type="text"/>
Taxes	<input type="text"/>
Insurance premiums	<input type="text"/>
Public utility charges	<input type="text"/>
Maintenance order	<input type="text"/>

- 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

Reasonable professional fees	<input type="text"/>
Reimbursement of expenses associated with provision of legal services	<input type="text"/>
Satisfy Judgment or arbitral award	<input type="text"/>
Payment to a third party due under contract	<input type="text"/>
Accrue interest or other earnings due on accounts	<input type="text"/>
Payment due to a person or entity affected by a prohibition	<input type="text"/>
Other Expense	<input type="text" value="Please specify here"/>
Other Expense Total Amount	<input type="text"/>
Total Amount Required *	<input type="text"/>

- 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

**Obligatory Supporting Documentation to accompany this application**

1. A copy of the Applicants Identity Document or Passport
2. A declaration by an affidavit declaring
  - a) the applicant's interest in the property
  - b) all the applicant's assest and liabilities and
  - c) that the applicant cannot meet the expenses out of property not subject to section 26B.

If the applicant is a third party, the following document must accompany this application -

1. Copy of judgment, award, contract or agreement, as may be applicable

Upload documentation  No file chosen  
 (File size must be less than 5MB)

### 6.3. Uploading documentation

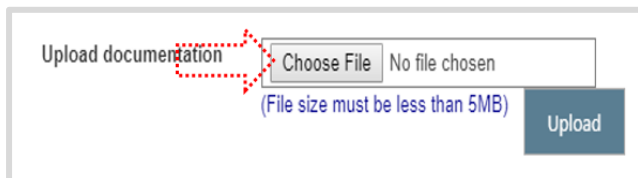
Obligatory supporting documents must be uploaded to accompany the application

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:

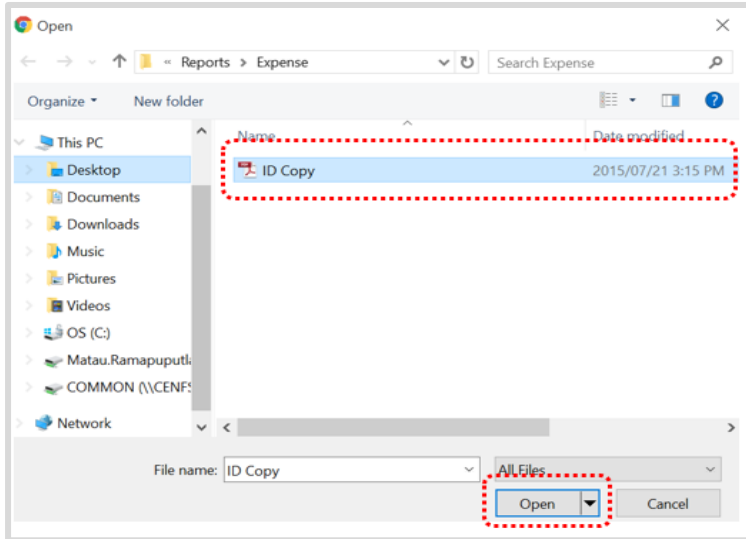
- a copy of the applicant's identity document or passport;
- a declaration that the applicant cannot meet the expenses out of property that is not subject to section 26B;
- a full disclosure by the applicant of his/her interest in the property;
- a sworn and full statement of all the applicant's assets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

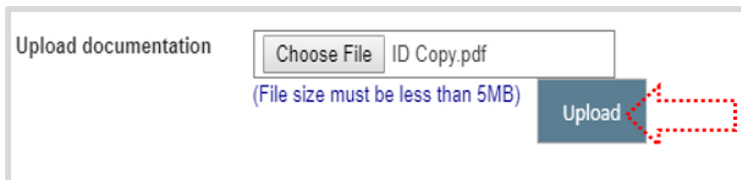
#### Click Choose File button



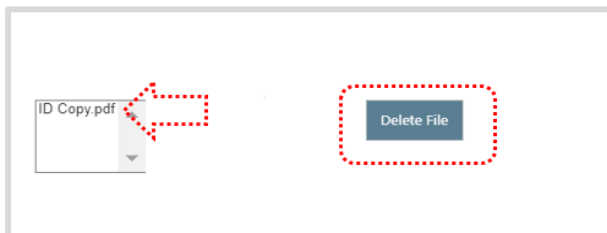
- Click the document (e.g. ID Copy) > click **Open**



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



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



- To submit the document > Click **submit**

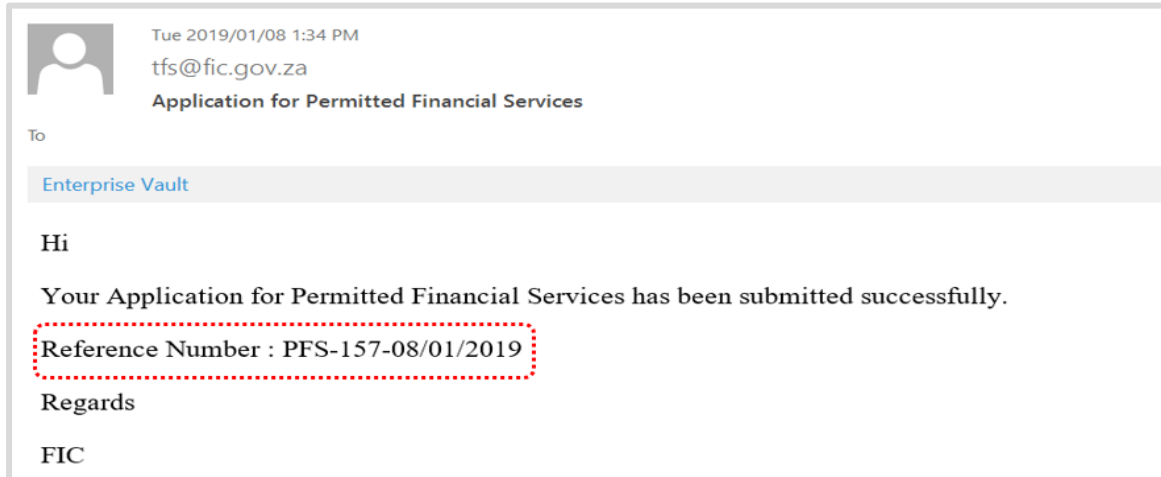


- A message confirming successful submission of the application populates

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.



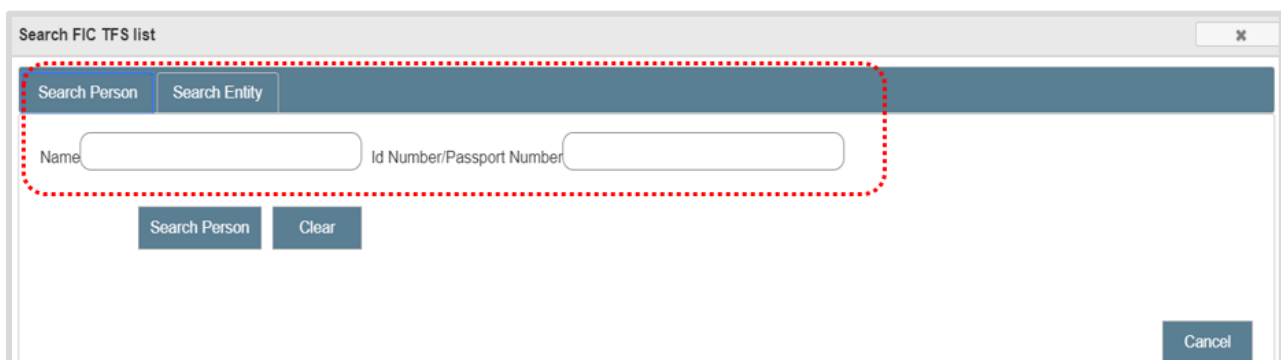
## 6.5. Search for a listed person

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**



- 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

Search FIC TFS list

Search Person Search Entity

Name  Id Number/Passport Number

Show  entries Filter results:

Reference Number	Name	DOB	Designation	Listed on
<input type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input type="checkbox"/> KPI.021	KIM JUNG JONG		Tanchon Commercial Bank Representative, , ,	02/03/2016
<input type="checkbox"/> KPI.021	KIM JUNG JONG		Tanchon Commercial Bank Representative, , ,	02/03/2016

Showing 1 to 5 of 23 entries Previous  2 3 4 5 Next

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

Reference Number	Name	DOB	Designation	Listed on
<input type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input checked="" type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input type="checkbox"/> KPI.009	KIM KWANG-IL		Tanchon Commercial Bank (TCB) official, , ,	22/01/2013
<input type="checkbox"/> KPI.021	KIM JUNG JONG		Tanchon Commercial Bank Representative, , ,	02/03/2016
<input type="checkbox"/> KPI.021	KIM JUNG JONG		Tanchon Commercial Bank Representative, , ,	02/03/2016

Showing 1 to 5 of 23 entries 1 row selected Previous  2 3 4 5 Next

- The selected listed person will be visible in the text field > click the **Clear** button to remove the selected name

Person/Entity on Consolidated List of Targeted Financial Sanctions pursuant to section 26A of the Financial Intelligence Centre Act, 2001 \*

## 6.6. Search for a listed entity

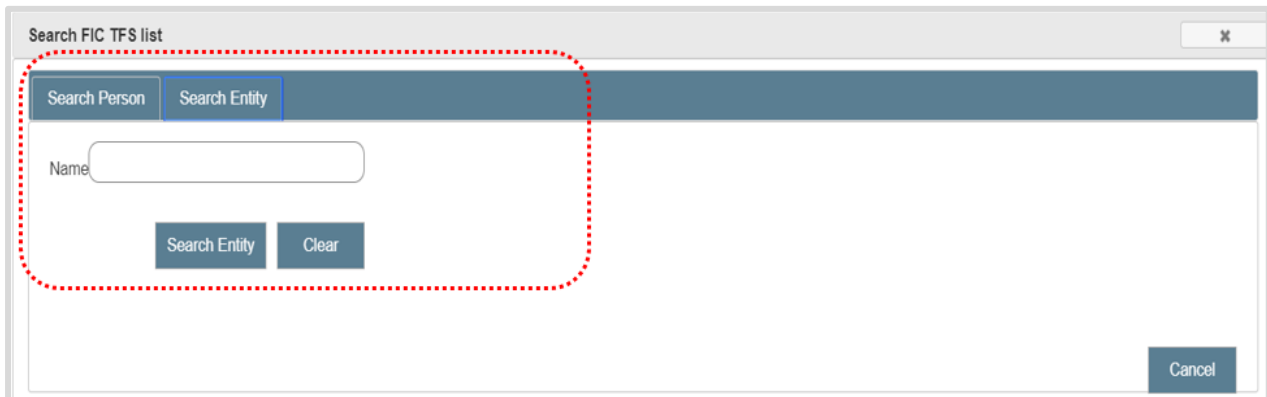
The search functionality is used to search a person or entity that is listed. The application for the permitted financial services is made to access the funds of the listed entity. To search for a listed **Entity**

- Click the **Search Button**



Person/Entity on Consolidated List of Targeted Financial Sanctions pursuant to section 26A of the Financial Intelligence Centre Act, 2001 \*

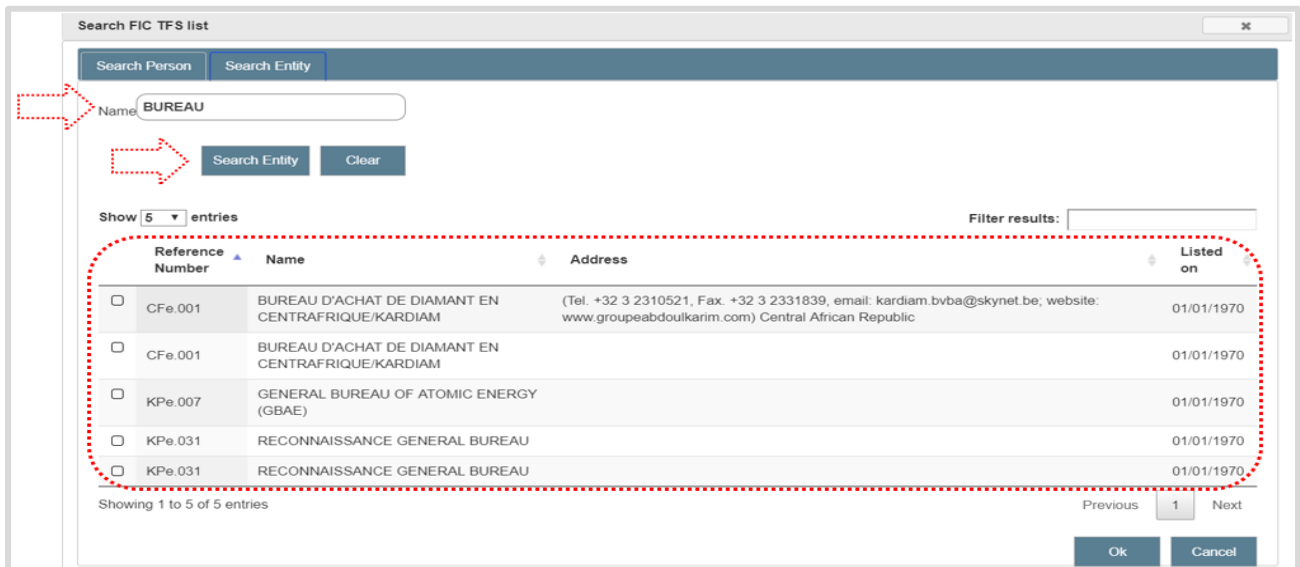
- The search FIC TFS list window populates, with the **Search Person** and **Search Entity** tab. The search entity tab has one field, **Name**. Listed entity can be searched using the Name of the listed entity.



Search FIC TFS list

Name

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



Search FIC TFS list

Name

Show  entries

Filter results:

Reference Number	Name	Address	Listed on
<input type="checkbox"/> CFe.001	BUREAU D'ACHAT DE DIAMANT EN CENTRAFRIQUE/KARDIAM	(Tel. +32 3 2310521, Fax. +32 3 2331839, email: kardiam.bvba@skynet.be, website: www.groupeabdoulkarim.com) Central African Republic	01/01/1970
<input type="checkbox"/> CFe.001	BUREAU D'ACHAT DE DIAMANT EN CENTRAFRIQUE/KARDIAM		01/01/1970
<input type="checkbox"/> KPe.007	GENERAL BUREAU OF ATOMIC ENERGY (GBAE)		01/01/1970
<input type="checkbox"/> KPe.031	RECONNAISSANCE GENERAL BUREAU		01/01/1970
<input type="checkbox"/> KPe.031	RECONNAISSANCE GENERAL BUREAU		01/01/1970

Showing 1 to 5 of 5 entries

Previous  Next

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

Reference Number	Name	Address	Listed
<input checked="" type="checkbox"/> CFe.001	BUREAU D'ACHAT DE DIAMANT EN CENTRAFRIQUE/KARDIAM	(Tel. +32 3 2310521, Fax. +32 3 2331839, email: kardiam.bvba@skynet.be; website: www.groupeabdoulkarim.com) Central African Republic	01/01/1970
<input type="checkbox"/> CFe.001	BUREAU D'ACHAT DE DIAMANT EN CENTRAFRIQUE/KARDIAM		01/01/1970
<input type="checkbox"/> KPe.007	GENERAL BUREAU OF ATOMIC ENERGY (GBAE)		01/01/1970
<input type="checkbox"/> KPe.031	RECONNAISSANCE GENERAL BUREAU		01/01/1970
<input type="checkbox"/> KPe.031	RECONNAISSANCE GENERAL BUREAU		01/01/1970

Showing 1 to 5 of 5 entries 1 row selected

Previous 1 Next

- The selected listed entity will be visible in the text field > click the **Clear button** to remove the selected name

Person/Entity on Consolidated List of Targeted Financial Sanctions pursuant to section 26A of the Financial Intelligence Centre Act, 2001 \*

BUREAU D'ACHAT DE DIAMANT EN CENTRAFR

## **7. Permitted financial services support**

**For PFS support contact the FIC:**

**Log a web query:**

Click [HERE](#) for queries

**-ENDS-**

**Updated and Issued by**

**The Financial Intelligence Centre**

**April 2019**