

FINANCIAL SERVICE PROVIDER AGREEMENT APPLICATION

Financial Service Provider Agreement

STEP 1:

Requirements to enter into an Agreement with the Product Provider:

- You must be registered with the Financial Sector Conduct Authority (FSCA)
- The FSP and its representatives must be appropriately licensed to market products of the Product Provider
- Complete all the information in this application to ensure that there is no delay in processing your Agreement
- If there are more than two owners please make copies and complete Section 4 of this application.
- If there is more than one Financial Adviser please make copies and complete the **FSP Representative Application**.



STEP 2:

- Complete this **Financial Services Provider Agreement Application**



STEP 3:

The acceptance of the Agreement will be subject to receipt of the documents listed below as well as clearance of regulatory checks, e.g. Debarment, ITC, etc, as well as the approval of the Directors/Trustees of the product providers.

- Completed **Financial Services Provider Agreement Application**
- Certified Copies of all FICA documentation for the FSP/Directors/Shareholders /Key Individuals/Owners and Representatives (See **Acceptable Forms of Verification Document** attached hereto)
- Proof of banking details in the name of the FSP (a bank statement not older than 3 months.) Please note all commission/fees/remuneration will be paid into this account
- Copy of FSP FAIS License
- FSP Representative Application, signed and duly completed by the Representative (See **FSP Representative Application** attached hereto)
- Confirmation that the required product specific training was completed where applicable.



PRODUCT PROVIDERS

1. **Prime Collective Investment Schemes Management Company (RF) (Pty)(Ltd)**
Reg. No. 2005/017098/07
2. **Global Fund Administrators (Pty)(Ltd)**
Reg. No. 2007/030489/07
3. **Prime Preservation Pension Fund**
Reg. No. 12/8/37924
4. **Prime Preservation Provident Fund Reg.**
No. 12/8/37926
5. **Prime Retirement Annuity Fund**
Reg. No. 12/8/37925
6. **Fedgroup Life Limited** Reg. No. 2007/018003/06



FINANCIALSERVICEPROVIDERAGREEMENTAPPLICATION

1. Financial Service

Which of the following financial services will you be performing?

Advice/Intermediary - Cat I (Annexure A1 to Agreement)

Discretionary - Cat II (Annexure A2 to Agreement)

Model portfolio - grouping of investment portfolios combined by the Model Portfolio Manager on the Platform (Annexure A3 to Agreement)

2. Financial Services Provider Company Details

2.1. Company Details

Company Name	<input type="text"/>		
Physical Address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Code	<input type="text"/>
Postal Address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Code	<input type="text"/>
Tel (Home)	<input type="text"/>	Tel (Mobile)	<input type="text"/>
Tel (Work)	<input type="text"/>		
Email	<input type="text"/>		
FAIS/FSP No.	<input type="text"/>	Income Tax No.	<input type="text"/>
Tax Status	Individual <input type="checkbox"/>	Corporate	<input type="checkbox"/>

2.2. Type of Business (Tick and complete as appropriate)

a. Partnership	<input type="checkbox"/>	VAT No.	<input type="text"/>									
b. Sole proprietor	<input type="checkbox"/>	ID No.	<input type="text"/>	Date of Birth								
		VAT No.	<input type="text"/>	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y					
c. Close Corporation	<input type="checkbox"/>	Reg. No.	<input type="text"/>	Country of Reg.								
		Reg. Date	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	VAT No.
D	D	M	M	Y	Y	Y	Y					
d. Company	<input type="checkbox"/>	Reg. No.	<input type="text"/>	Country of Reg.								
		Reg. Date	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	VAT No.
D	D	M	M	Y	Y	Y	Y					

2.3. Financial Services Provider Representative Details

- Please ensure that the list below is correct.
- It is the FSP's responsibility to inform the company of any Appointments/Terminations.
- Each FSP needs to complete a ***FSP Representative Application***.

Name of Representative	ID No.

3. FSP Company Bank Details

- Please provide below the banking details for the account of the FSP to which commissions and ongoing fees should be paid.
- The bank account completed below should have been opened in excess of 6 months prior to this application and must be in the name of the FSP only.
- All Financial Advisor Initial Fees and Financial Advisor Annual Fees will be paid by electronic transfer only.

Account Name

Account No. Bank

Branch Branch Code

Type of Account Current Savings Transmission

4. History of FSP Company/ Principals/ Members/ Directors/ FSP Individuals

4.1. Has/have any Company/Companies and/or Independent Fund/s ever refused to give you a FSP Contract/s?

Yes No If "Yes" please supply details below.

4.2. Has/have any Company/Companies and/or Independent Fund/s ever cancelled a FSP contract with you?

Yes No If "Yes" please supply details below.

4.3. Has the FSP's license been revoked or have any of the FSP's representatives been debarred?

Yes No If "Yes" please supply details below.

5. Details Of Owner(s)

If there are more than two (2) Directors/Partners/Shareholders, please make copies of the relevant pages to meet the requirement.

5.1. Shareholdings

If the Brokerage is a company, please provide details of the shareholders:

Full Names and Surname	Shareholding %

5.2. Personal Information of the Directors/Partners/Shareholders/Sole Owner in Enterprise

(1) Title Surname

Full First Name/s

ID No.

Physical Address

Postal Address

Code

Code

Tel (Home) Tel (Mobile)

Tel (Work)

Email Address

Income Tax No. Tax Office

Gender Male Female

Educational Qualification

Marital Status Married in Community of Property? Yes No

(2) Title Surname

Full First Name/s

ID No.

Physical Address

Postal Address

Code

Code

Tel (Home) Tel (Mobile)

Tel (Work)

Email Address

Income Tax No. Tax Office

Gender Male Female

Educational Qualification

Marital Status Married in Community of Property? Yes No

Previous Experience (Applicable to all Owners)

Name	Previous Employer	Duration in Service	Details

6. Compliance Officer Details

Title Surname

Full First Name/s

ID No.

Physical Address

Postal Address

Code

Tel (Home) Tel (Mobile)

Tel (Work)

Email Address

Practice Number

7. Declaration and Signature

I/We, the undersigned FSP hereby agree and declare that:

1. The FSP and representatives hereby enters into this Agreement with the Product Providers, to enable it to promote and market the Financial Products on the terms and conditions contained in the Agreement, the contents of which it has familiarised itself with.
2. The Product Providers will communicate their acceptance of this offer to the FSP by sending the Agreements to the FSP.
3. The FSP chooses the physical address provided in clause 2.1 of this Agreement application as it's domicilia citandi et executandi

for the service on it of all legal processes, notices, correspondence and communications in terms of the Agreements.

4. This Agreement Application will form part of the Agreement with the Product Provider if it's offer to contract is accepted.
5. The signatories warrant that they are authorised to sign this document on behalf of the FSP.
6. The FSP acknowledges and agrees that no payment of any commission and/or remuneration in respect of any business that may be introduced by the FSP before the agreement has been signed, will be made.
7. The FSP hereby agrees to bind him/her/itself to the conditions stipulated by the Product Provider and acknowledge that should any other information herein provided be false, incomplete or misleading in any form, the Product Provider shall be entitled to forthwith cancel any agreement that may exist between the FSP and the Product Provider.
8. The FSP further binds itself to legislation, which is and may become applicable and will ensure compliance thereto at all time and assist the Product Provider as so far it is applicable on itself.
9. The FSP agrees that the Product Provider has the right to amend in writing and/or vary rules and regulations governing the terms and conditions under which they are prepared to consider granting the Agreement and consequent advances and agree to abide by such variation which is at the Product Provider's complete discretion
10. The FSP hereby authorises the Product Provider to direct any query to any person or institution by whom any of the Financial Advisors were previously employed as intermediaries/agents, brokers or employed in similar capacities. Furthermore the FSP hereby authorise such third person or institution to submit answers to queries or provide full details to the Product Provider in this regard.
11. The FSP authorises the Product Provider to accept instructions by e-mail and hereby waives any claim that he/she/it may have against the Product Provider and indemnify the Product Provider against any loss incurred as a result of the Product Provider receiving and/or acting upon such communication. The Product Provider will not be held responsible for any failure, malfunction or delay of any networks or electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of application and/or transactions. The Product Provider will not be liable to make good or compensate for any damages (whether direct or consequential), losses, claims or expenses resulting there from. The FSP or any third party indemnify the Product Provider accordingly.
12. The FSP warrants that it has either established and verified the identity of all Clients in accordance with sections 21, 21(A), 21(B),21(C), 21(D), 21(E), 21(F), 21(G), and 21(H) of the Financial Intelligence Centre Amendment Act No. 1 of 2017 ("FICA"), or that in terms of The FSP's rules and procedures ordinarily applied in the course of establishing business relationships or concluding single transactions, they will have established and verified, in accordance with sections 21, 21(A), 21(B), 21(C), 21(D), 21(E), 21(F), 21(G),and 21(H) of FICA, the identity of every Client on whose behalf they will be establishing business relationships or conducting single transactions. The FSP further warrants that they will keep records of such identification in accordance with sections 22 and22(A) of FICA.
13. The FSP warrants that it is not a personal service provider as defined in the Income Tax Act No.8 of 1962.
14. The FSP understands that the Product Providers care about its privacy and that in order to provide the FSP with their services, they and their service providers have to process the personal information provided to them by completing this Agreement. The Product Providers will treat the personal information with caution and have put reasonable security measures in place to protect it as per Schedule 2 to this Agreement.

Signed at (Place)

Signature of Authorised Representative

Authorised Representative #1

Signature Name
Capacity

Authorised Representative #2

Signature Name
Capacity