

INDEPENDENT FINANCIAL ADVISOR FSP APPLICATION FORM

- Please complete all relevant sections in full.
- Please read the **Broker Agreement**.
- Please ensure that all following supporting documentation is submitted with this application:

- | | | |
|--------------------------|---|------------|
| <input type="checkbox"/> | FICA Checklist | ANNEXURE A |
| <input type="checkbox"/> | Additional Compulsory Information | ANNEXURE B |
| <input type="checkbox"/> | Certified copy of FSB/FSCA licence as well as the conditions and restrictions thereto. | |
| <input type="checkbox"/> | Proof of VAT no. (i.e. a SARS document reflecting the name of the IFA entity and VAT no.) | |

Once completed please send the application form together with the required supporting documents to RCIS via email to: clientservices@realfin.co.za

SECTION 1 | IFA DETAILS

Natural Person	<input type="checkbox"/>	SA Company	<input type="checkbox"/>	Close Corporation	<input type="checkbox"/>	
Sole Proprietor	<input type="checkbox"/>	Partnership	<input type="checkbox"/>	Other*	<input type="checkbox"/>	Please Specify: <input type="text"/>

SECTION 2 | FINANCIAL SERVICE PROVIDER (FSP) DETAILS

Registered Name of FSP:	<input type="text"/>		
Registration Number:	<input type="text"/>	FSP Licence Number:	<input type="text"/>
Income Tax Number:	<input type="text"/>	VAT Number (If Applicable):	<input type="text"/>
Physical Address:	<input type="text"/>		
	<input type="text"/>	Code:	<input type="text"/>
Postal Address:	<input type="text"/>		
	<input type="text"/>	Code:	<input type="text"/>
Website Address:	<input type="text"/>		

SECTION 3 | RELATED PARTY DETAILS

- * Please list all directors, including the Managing Director/Chief Executive Officer (CEO).
- * Please list all shareholders holding 25% or more.
- * Please list all ultimate beneficial owners. (i.e. natural persons)
- * Please list all signatories.

Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
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Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>
Full Name(s):	<input type="text"/>	Capacity:	<input type="text"/>

NOTE: Please fill out an "Annexure B" for each person mentioned above.

SECTION 4 | LIST OF ADVISORS / FSP'S - KEY INDIVIDUALS AND REPRESENTATIVES

Name:	<input type="text"/>	ID Number	<input type="text"/>
Name:	<input type="text"/>	ID Number	<input type="text"/>
Name:	<input type="text"/>	ID Number	<input type="text"/>
Name:	<input type="text"/>	ID Number	<input type="text"/>
Name:	<input type="text"/>	ID Number	<input type="text"/>

** Please note that for each of the above mentioned Person(s), the relevant FICA detailed in Annexure A must be provided and an "Annexure B" must be completed.*

SECTION 5 | HISTORY OF FSP

Has any other Entity ever refused to give you a Financial Advisor Agreement? Yes* No

**If "Yes" please specify below:*

Has any other Entity ever canceled a Financial Advisor Agreement with you? Yes* No

**If "Yes" please specify below:*

Has the Entity's license ever been revoked or have any of the Entity's representatives been disbarred? Yes* No

**If "Yes" please specify below:*

SECTION 6 | BANKING DETAILS FOR PAYMENT OF FEES

Account Holder Name:

Name of Bank: Account Number:

Branch Name: Branch Code:

Account Type: Current Cheque Savings Transmission

SECTION 7 | DECLARATION

- I/We warrant the above information to be correct. RCIS shall not be liable for any loss or damage suffered on account of incorrect information provided by me/us or as a result of a change in my/our information or my/our misrepresentation or my/our involvement in any fraudulent act.
- I/We undertake to advise RCIS in writing should any of the details completed herein change subsequent to signature hereof by me/us.
- I/We further acknowledge that this FSP Application Form, together with the Terms and Conditions stated in the Broker Agreement, form the basis on which RCIS appoints me/us, and I/we agree to be bound by the said Terms and Conditions.
- I/We accept that RCIS may authorise my/our identity via a credit bureau.
- I/We accept that RCIS reserves the right to not appoint me/us as a Advisor / Financial Services Provider for whatever reason.

Authorised Signature:

Capacity:

Place of Signature:

Date (DD/MM/YYYY):

Authorised Signature:

Capacity:

Place of Signature:

Date (DD/MM/YYYY):

Category I**The FSP has been approved by the Financial Sector Conduct Authority to give advice and/or intermediary services in the following products:**

No.	Financial Product	Advice		Intermediary service	
		Automated	Non-automated	Scripted execution of sales	All other intermediary services
1.1	Long-term Insurance subcategory A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Short-term Insurance Personal Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Long-term Insurance subcategory B1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Long-term Insurance subcategory C	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Retail Pension Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.6	Short-term Insurance Commercial Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7	Pension Fund Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8	Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.9	Money market instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.10	Debentures and securitised debt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.11	Warrants, certificates or other instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.12	Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.13	Derivative instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.14	Participatory interests in a collective investment scheme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.15	Forex Investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.16	Health Service Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.17	Long-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.18	Short-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.19	Friendly Society Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.20	Long-term Insurance subcategory B2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.21	Long-term Insurance subcategory B2-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.22	Long-term Insurance subcategory B1-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.23	Short-term Insurance Personal Lines A1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.24	Structured Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.25	Securities and instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.26	Participatory interest in a hedge fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Category II

The FSP has been approved by the Financial Sector Conduct Authority to give advice and/or intermediary services in the following products:

No.	Financial Product	
2.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
2.2	Long-term Insurance subcategory C	<input type="checkbox"/>
2.3	Retail Pension Benefits	<input type="checkbox"/>
2.4	Pension Fund Benefits	<input type="checkbox"/>
2.5	Shares	<input type="checkbox"/>
2.6	Money market instruments	<input type="checkbox"/>
2.7	Debentures and securitised debt	<input type="checkbox"/>
2.8	Warrants, certificates and other instruments	<input type="checkbox"/>
2.9	Bonds	<input type="checkbox"/>
2.10	Derivative instruments	<input type="checkbox"/>
2.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
2.12	Forex Investment	<input type="checkbox"/>
2.13	Long-term Deposits	<input type="checkbox"/>
2.14	Short-term Deposits	<input type="checkbox"/>
2.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
2.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
2.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
2.18	Structured Deposits	<input type="checkbox"/>
2.19	Securities and instruments	<input type="checkbox"/>
2.20	Participatory interest in a hedge fund	<input type="checkbox"/>

Category IIA

The FSP has been approved by the Financial Sector Conduct Authority to give advice and/or intermediary services in the following products:

No.	Financial Product	
2A.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
2A.2	Long-term Insurance subcategory C	<input type="checkbox"/>
2A.3	Retail Pension Benefits	<input type="checkbox"/>
2A.4	Pension Fund Benefits	<input type="checkbox"/>
2A.5	Shares	<input type="checkbox"/>
2A.6	Money market instruments	<input type="checkbox"/>
2A.7	Debentures and securitised debt	<input type="checkbox"/>
2A.8	Warrants, certificates and other instruments	<input type="checkbox"/>
2A.9	Bonds	<input type="checkbox"/>
2A.10	Derivative instruments	<input type="checkbox"/>
2A.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
2A.12	Forex Investment	<input type="checkbox"/>
2A.13	Long-term Deposits	<input type="checkbox"/>
2A.14	Short-term Deposits	<input type="checkbox"/>
2A.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
2A.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
2A.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
2A.18	Structured Deposits	<input type="checkbox"/>
2A.19	Securities and instruments	<input type="checkbox"/>
2A.20	Participatory interest in a hedge fund	<input type="checkbox"/>

Category III

The FSP has been approved by the Financial Sector Conduct Authority to give advice and/or intermediary services in the following products:

No.	Financial Product	
3.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
3.2	Long-term Insurance subcategory C	<input type="checkbox"/>
3.3	Retail Pension Benefits	<input type="checkbox"/>
3.4	Pension Fund Benefits	<input type="checkbox"/>
3.5	Shares	<input type="checkbox"/>
3.6	Money market instruments	<input type="checkbox"/>
3.7	Debentures and securitised debt	<input type="checkbox"/>
3.8	Warrants, certificates and other instruments	<input type="checkbox"/>
3.9	Bonds	<input type="checkbox"/>
3.10	Derivative instruments	<input type="checkbox"/>
3.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
3.12	Forex Investment	<input type="checkbox"/>
3.13	Long-term Deposits	<input type="checkbox"/>
3.14	Short-term Deposits	<input type="checkbox"/>
3.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
3.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
3.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
3.18	Structured Deposits	<input type="checkbox"/>
3.19	Securities and instruments	<input type="checkbox"/>
3.20	Participatory interest in a hedge fund	<input type="checkbox"/>