

FINANCIAL SERVICES PROVIDER REGISTRATION FORM

FSP DETAILS

Name of the FSP: _____

Trading Name: _____

Company Reg Number: _____

Registered Address: _____

Postal Address: _____

Nature of business: _____

FSP licence No _____ VAT Number: _____

Please supply a copy of:

- | | |
|---|---|
| <input type="checkbox"/> Certificate of incorporation (CM1 / CK1) | <input type="checkbox"/> Notice of Registered Office (CM22 / CK2) |
| <input type="checkbox"/> Vat certificate | <input type="checkbox"/> FSP licence |
| <input type="checkbox"/> Cancelled cheque or bank statement (not older than 3 months) | |

CONTACT DETAILS FOR THE FSP

Contact Person(s): _____

Physical Address: _____

Postal Address: _____

Tel No: (_____) _____ Fax No: (_____) _____

E-mail Address: _____ Cellphone No: _____

BANKING DETAILS

Name of Bank: _____

Branch Name: _____ Branch Code: _____

Name of Account Holder: _____

Account Number: _____

Type of Account: Current Savings Transmission

DETAILS OF EACH REPRESENTATIVE / KEY INDIVIDUAL OF THE FSP

	Name of advisor	Name of advisor	Name of advisor	Name of advisor
KI or Rep				
Title				
Surname				
First Names				
ID / Passport No				
Date of birth				
Residential Address				
Telephone No				
Fax No.				
Cellphone No.				
E-mail Address				
Income Tax No.				
Broker code required?				
Broker code (for office use)				

DETAILS OF EACH MANAGER, PARTNER / DIRECTOR, ALL AUTHORISED PERSONS, PERSONS HOLDING 25% OR MORE OF VOTING RIGHTS & PERSONS EXERCISING EXECUTIVE CONTROL

	Name	Name	Name	Name
Title				
Surname				
First Names				
ID / Passport No				
Date of birth				
Residential Address				
Telephone No.				
Fax No.				
Cellphone No.				
E-mail Address				
Capacity				

SECURITY DETAILS

- Have you entered into any form of creditor’s agreement?
- Have you ever been found guilty of a crime?
- Have you ever been declared insolvent?
- Have you ever been rehabilitated?
- Has there ever been a civil judgment against you?
- Has there ever been an “S” rating against your name?

- Has any professional body ever taken action against, disciplined or barred entry to you?
- Has a financial services company ever refused to enter into a remuneration contract with you?
- Has a financial services company ever cancelled a remuneration contract with you?

If the answer is "Yes" to any of the above, please give full details and relevant date(s).

DECLARATION

I hereby warrant that the information that I have provided is true, correct and complete in every respect.

I authorise Element Unit Trusts Limited, at its discretion, to make enquiries concerning me to a financial services company, other institution or person, and authorize those institutions or persons to provide full information regarding Element Unit Trusts' enquiries. I also authorize Element Unit Trusts to provide such information to any other financial services company.

Should Element Unit Trusts accept this application and enter into an agreement with me, Element Unit Trusts shall, in its sole discretion, decide whether or not any remuneration should be paid to me for that business.

If an agreement is granted to me, I undertake to notify Element Unit Trusts immediately with the necessary confirmation and notification when my details change.

I subject myself to all the rules and conditions prescribed by Element Unit Trusts and agree that, should an agreement with Element Unit Trusts be granted to me, this application will form part of such agreement.

I declare that if any of the information that I have provided, is incorrect and/or incomplete then Element Unit Trusts shall immediately terminate such agreement.

I confirm that I shall be subject to the requirements of the Financial Intelligence Centre Act, No. 38 of 2001 and the Financial Advisory & Intermediary Services Act, No. 37 of 2002.

SIGNATURE OF AUTHORISED PERSONS

Signed at _____ on this _____ day of _____ 20__

Name _____

Name _____

Designation _____

Designation _____

FICA REQUIREMENTS

In terms of the Financial Intelligence Centre Act 38 of 2001 ("FICA"), and the regulations thereto, Element Unit Trusts is an accountable institution and is, therefore, compelled to identify and verify the identity of its clients.

The following persons are exempt from providing this documentation:

- companies listed on a recognized securities exchange (e.g. JSE)
- approved Pension, Provident and Retirement Annuity Funds

Element Unit Trusts reserves the right to request the supporting documentation for the abovementioned exempt persons where it is deemed necessary. Element Unit Trusts will only place investments once all the supporting documentation listed below has been received.

NATURAL PERSONS

SA Citizen

- Copy of South African identity document containing a photo, full names, date of birth & ID number – A passport/driver's licence can only be accepted if a South African identity document is not available
- A document (not older than 3 months) showing residential address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Cancelled cheque or bank statement (not older than 3 months)

Foreign Nationals

- Copy of passport containing a photo, full names, date of birth & ID number
- A document (not older than 3 months) showing residential address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Cancelled cheque or bank statement (not older than 3 months)

LEGAL PERSONS

SA Companies

- Certificate of Incorporation (CM1), Notice of Registered Office and Postal Address (CM22) stamped by the Registrar of Companies and signed by the Company Secretary, List of Directors (CM29)
- A document (not older than 3 months) containing trade name and business address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Copy of letterhead
- Copy of ID document / passport and utility bill for all directors, managers, authorized signatories
- Copy of ID document / passport and utility bill for all individuals holding 25% or more of the voting rights at a general meeting
- Applicable documentation for institutions holding 25% or more of the voting rights at a general meeting
- Proof of authority to act for the company (e.g. Board resolution)
- Cancelled cheque or bank statement (not older than 3 months)

SA Close Corporations

- Founding Statement and Certificate of Incorporation (CK1) and Amended Founding Statement (CK2) if applicable, stamped by the Registrar of Companies and signed by authorized signatories
- A document (not older than 3 months) containing trade name and business address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Copy of letterhead
- Copy of ID document / passport and utility bill for all members and authorized signatories
- Proof of authority to act for the close corporation (e.g. Resolution)
- Cancelled cheque or bank statement (not older than 3 months)

Foreign companies

- Official document from foreign regulators witnessing incorporation, bearing the name, number and the address
- A document(s) (not older than 3 months) containing SA and foreign trade names and business address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Copy of ID document / passport and utility bill for SA manager, all directors and authorized signatories
- Copy of ID document / passport and utility bill for all individuals holding 25% or more of the voting rights at a general meeting
- Applicable documentation for institutions holding 25% or more of the voting rights at a general meeting
- Proof of authority to act for the company (e.g. Board resolution)
- Cancelled cheque or bank statement (not older than 3 months)

Partnerships

- Partnership agreement
- A document (not older than 3 months) containing trade name and business address (e.g. utility bill, bank statement, tax invoice, Telkom account, payslip and municipal rates)
- Copy of ID document / passport and utility bill for all the partners, authorized signatories and persons exercising executive control
- Applicable documents for institutional partners or institutions exercising executive control
- Proof of authority to act for partnership (e.g. Resolution)
- Cancelled cheque or bank statement (not older than 3 months)

Trusts

- The main deed or other founding documents (e.g. a will)
- Letter of Authority from Master of the High Court (SA Trust) or foreign regulator (foreign trust) to trustees
- Copy of ID document / passport and utility bill for individual founder of the trust, each trustee, each beneficiary or details of how beneficiaries are determined if not mentioned by name and all authorized signatories
- Applicable documents for institutional beneficiaries, any institutional founder of trust of details of how beneficiaries are determined if mentioned by name
- Death certificate or certificate of deregistration where founder died or ceased to exist
- Trust resolution signed by trustees nominating and authorising signatories to act on the Trust's behalf
- Cancelled cheque or bank statement (not older than 3 months).