


Financial Service Provider Agreement Application
FSP Representative Application
4B FICA Exemption Questionnaire
Forms of Verification Document
Financial Service Provider Agreement
STEP 1:

Requirements to enter into an Agreement with the Product Provider:

- You must be registered with the Financial Services Board (FSB)
- 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 contract
- If there are more than two owners please make and complete copies of Section 4 of the application
- If there is more than one Financial Adviser please make copies and complete the [FSP Representative Application](#).

STEP 3:

Send the following documents to:

Email: save@primeinvestments.co.za
 or Fax us: 086 642 1880

- 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 (Cancelled cheque or 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
- 4B FICA Exemption Questionnaire & Certificate (if applicable), signed and duly completed (See [4B FICA Exemption Questionnaire and Certificate](#) attached hereto)
- FSP Representative Application, signed and duly completed by the Representative (See [FSP Representative Application](#) attached hereto)
- The acceptance of the offer to contract will be subject to receipt of the above documents and clearance of regulatory checks, e.g. Debarment, ITC, etc, as well as the approval of the Directors/Trustees of the product providers.


STEP 2:

- Complete this [Financial Services Provider Agreement Application](#)

PRODUCT PROVIDERS

- 1. Prime Collective Investment Schemes Management Company (RF) (Pty)(Ltd)**
 Reg. No. 2005/017098/07
Domicilium Address:
 First Floor, Building B, Hurlingham Office Park, 59 Woodlands Avenue, Hurlingham Manor, 2196
- 2. Global Fund Administrators (Pty)(Ltd)**
 Reg. No. 2007/030489/07
Domicilium Address:
 First Floor, Building B, Hurlingham Office Park, 59 Woodlands Avenue, Hurlingham Manor, 2196
- 3. Prime Preservation Pension Fund**
 Reg. No. 12/8/37924
Domicilium Address:
 First Floor, Building B, Hurlingham Office Park, 59 Woodlands Avenue, Hurlingham Manor, 2196
- 4. Prime Preservation Provident Fund**
 Reg. No. 12/8/37926
Domicilium Address:
 First Floor, Building B, Hurlingham Office Park, 59 Woodlands Avenue, Hurlingham Manor, 2196
- 5. Prime Retirement Annuity Fund**
 Reg. No. 12/8/37925
Domicilium Address:
 First Floor, Building B, Hurlingham Office Park, 59 Woodlands Avenue, Hurlingham Manor, 2196
- 6. Bidvest Life Limited**
 Reg. No. 1997/019460/06
Domicilium Address:
 2nd Floor, Lincoln on the Lake
 2 The High Street, Umhlanga Ridge, 4319

FINANCIAL SERVICE PROVIDER AGREEMENT APPLICATION



1. Financial Services Provider Company Details

1.1. Company Details

Company Name

Physical Address

Code

Postal Address

Code

Tel (Home) Tel (Mobile)

Tel (Work) Fax

Email

FAIS/FSP No. Income Tax No.

Tax Status Individual Corporate

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

a. Partnership VAT No.

b. Sole proprietor ID No. Date of Birth
VAT No.

c. Close Corporation Reg. No. Country of Reg.
Reg. Date
VAT No.

d. Company Reg. No. Country of Reg.
Reg. Date
VAT No.

1.3. 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.

2. 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

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

3.1. 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.

3.2. 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.

3.3. 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.

4. 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.

4.1. Shareholdings

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

Full Names and Surname	Shareholding %

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

(1)

Title	<input type="text"/>	Surname	<input type="text"/>
Full First Name/s	<input type="text"/>		
ID No.	<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"/>	Fax	<input type="text"/>
Email Address	<input type="text"/>		
Income Tax No.	<input type="text"/>	Tax Office	<input type="text"/>
Gender	Male <input type="checkbox"/>	Female	<input type="checkbox"/>
Educational Qualification	<input type="text"/>		
Marital Status	<input type="text"/>	Married in Community of Property?	Yes <input type="checkbox"/> No <input type="checkbox"/>

(2)

Title	<input type="text"/>	Surname	<input type="text"/>
Full First Name/s	<input type="text"/>		
ID No.	<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"/>	Fax	<input type="text"/>
Email Address	<input type="text"/>		
Income Tax No.	<input type="text"/>	Tax Office	<input type="text"/>
Gender	Male <input type="checkbox"/>	Female	<input type="checkbox"/>

Educational Qualification

Marital Status Married in Community of Property? Yes No

Previous Experience (Applicable to all Owners)

Name	Previous Employer	Duration in Service	Details

5. Compliance Officer Details

Title Surname

Full First Name/s

ID No.

Physical Address

Postal Address

Tel (Home) Tel (Mobile)

Tel (Work) Fax

Email Address

Practice Number

Declaration and Signature

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

1. I/We hereby enter into Financial Service Provider Agreements with the Product Providers, to enable me/us to promote and market the Financial Products on the terms and conditions contained in the standard Financial Service Provider Agreement and its Annexures, the contents of which I have familiarised myself/ourselves with.
2. The Product Providers will communicate their acceptance of this offer to me/us by sending the Financial Service Provider Agreements and Annexures to me/us.
3. I/We choose the physical address provided in 1 of this document as my/our domicilia citandi et executandi for the service on us of all legal processes, notices, correspondence and communications in terms of the Financial Service Provider Agreements and its Annexures.
4. This Financial Service Provider Agreement Application will form part of my/our agreement with the Product Provider if my/our 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. I/We further bind my/our self to legislation, which is and may become applicable and will ensure compliance thereto at all times and assist the Product Provider as so far it is applicable on my/our self.
9. I/We agree 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 complete discretion.
10. I/We hereby authorise 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 I/We hereby authorise such third person or institution to submit answers to queries or provide full details to the Product Provider in this regard.
11. I/We authorise the Product Provider to accept instructions by facsimile or e-mail and hereby waive 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 indemnifies the Product Provider accordingly.
12. The FSP warrants that it has either established and verified the identity of all Clients in accordance with section 21 of the Financial Intelligence Centre Act No 38 of 2001 ("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 section 21 of FICA, the identity of every Client on whose behalf they will be establishing business relationships or conducting single transactions has, where it has not established and verified the identify of any Client, been exempted from having to do so by another (the primary) accountable institution and that The FSP will or have obtained a written undertaking from the primary accountable institution to this effect. The FSP further warrants that they will keep records of such identification in accordance with Section 22 of FICA or, where it has not established and verified the identity of Clients, another (the primary) accountable institution has provided.

Signed at (Place)

Signature of Authorised Representative

Authorised Representative #1

Signature Name
 Capacity

Authorised Representative #2

Signature Name
 Capacity