

FINANCIAL ADVISOR APPLICATION FORM

Important note: Please refer to page number 4 for all/any information and/or documentation that is required to be submitted along with this completed application form.

SECTION 1:

Surname

First Name(s) (in full) Title

ID No.

Registered Name of Entity

Entity Type (Tick Appropriate Block) Company Partnership Sole Proprietor CC

Please state Company Registration or CK No.

SECTION 2:

Preferred means of communication: SMS Email Mail

Address from which the business is conducted Code

Business Postal Address Code

Contact Details Home No. () Work No. ()

Fax No. () Mobile No.

Email Address

SECTION 3:

Date when business was established or incorporated

Date of inception of present management

Address of Branch Offices

SECTION 4:

Banking Details for Brokerage

Account Holder

Bank Name

Account No. Branch Code

Account Type Branch Name

SECTION 5:

FAIS License Number

SECTION 6:

Are you presently registered with any industry regulatory body?

Please state the Membership No.

Please advise the following:

Intermediary Guaranteed Limit

Professional Indemnity

