



Clientèle

INTERMEDIARY APPLICATION FORM

For the purpose of this application, all references to Clientèle shall include, where applicable, both Clientèle Life Assurance Company Limited (FSP15268) as well as Clientèle General Insurance Company Limited (FSP 34655).

Trading name	<input type="text"/>	Registration number	<input type="text"/>
Registered name	<input type="text"/>	FSP number	<input type="text"/>

Where we refer to a:

- Principal:** This will be the Director (Company)/Partner (Partnership)/Member (Closed corporation)/Owner (Company) or a Trustee (Trust) who is/are signatories to this application
- Agent of the Intermediary:** This will be any person applying to distribute Clientèle's Products and is authorised to distribute/market products and services on behalf of the intermediary and registered as a Representative on the FSP's licence.

Introducing Clientèle consultant

Section 1

Documentation required in respect of this application

Business Type	Sole Proprietor	Company (PTY) Ltd	Closed Corporation	Partnership	Trust
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intermediary Agreement Application	Yes	Yes	Yes	Yes	Yes
Resolution for Authority (principals authorising the applicant's signing power)	N/A	Yes	Yes	N/A	N/A
Registered company papers, stamped by the Registrar (not required for Sole Proprietors)	N/A	COR 14.3 and COR 39	CK1 and CK2	N/A	LOA and Trust Deed
Copy of FAIS Licence	Yes	Yes	Yes	Yes	Yes
Cancelled cheque or letter from bank or stamped bank statement – less than 3 months old	Yes	Yes	Yes	Yes	Yes
PSP Questionnaire and Affidavit	N/A	Yes	Yes	N/A	Yes
Copy of Tax Certificate as proof of tax reference	Yes	Yes	Yes	Yes	Yes
Proof of Business Registered Address	Yes	Yes	Yes	Yes	Yes
Vat Certificate (if VAT certified)	Yes	Yes	Yes	Yes	Yes
For Each Principal					
Personal Particulars	Yes	Yes	Yes	Yes	Yes
Proof of Residence	Yes	Yes	Yes	Yes	Yes
Copy of ID	Yes	Yes	Yes	Yes	Yes
Copy of spouse I.D (Where married in Community of Property)	Yes	Yes	Yes	Yes	Yes
For Each Agent of the Intermediary					
Application for an Agent of an Intermediary	Yes	Yes	Yes	Yes	Yes
Confirmation of Product Accreditation	Yes	Yes	Yes	Yes	Yes
Copy of ID	Yes	Yes	Yes	Yes	Yes

Section 2

Intermediary Information

Personalities of the Intermediary:

The following information must be completed in respect of all Directors/Trustees, Partners/Sole Proprietor, Members/Shareholders and Key Individuals. Please indicate all relevant roles associated with the individual by ticking the corresponding box.

1 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

2 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

3 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

4 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

5 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

6 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

7 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

8 Firstname(s)
Surname
ID Number
Director or Trustee Partner or Sole Proprietor
Member or Shareholder Key Individual

Intermediary Tax Details:

Tax number
(Please attach proof of the tax number)

Vat vendor Yes No

If yes, VAT number
(Please attach a copy of the VAT certificate)

Tax region

Where the Intermediary is a Company, Closed Corporation or a Trust, Annexure A (Personal Services Provider Declaration) must be completed and attached to the application

Intermediary Bank Details:

Bank name

Account number

Branch code

(If you do not know the branch code, please supply name of branch)

Bank account type: Current Transmission Savings

Account holder name

Cancelled cheque or letter from bank or stamped bank statement - less than 3 months old

Intermediary Address and Contact Details:

Registered in South Africa Yes No If 'No' please state country Cell number

Email (All official communication, including commission statements, will be sent to this listed e-mail address)

Registered address
 (Please provide proof of the above address (no older than 3 months))
 Suburb
 City/Town
 Postal Code

Intermediary Address
 (To be completed if different from registered address)
 Suburb
 City/Town
 Postal Code

Postal Address

 Suburb
 City/Town
 Postal Code

Office tel number
 Fax number

Name and Surname of main contact person
 Business title (e.g. Managing Director)

Alternative contact details:
 Name Email Cell number

Section 3
Intermediary Compliance and General Information

Compliance Officer details:

Internal External External company name FSB Compliance number
 Name and Surname ID Number
 Email Cell number

1. Does the Brokerage meet the FAIS Operational requirements? Yes No
2. Does the Brokerage comply with the FAIS Financial Soundness requirements? Yes No
3. Is the Brokerage's document storage policy compliant with FAIS? Yes No
4. Date of last FAIS compliance report submitted
5. Do the Key Individuals and Representatives meet the Honesty and Integrity requirements as set out by the FSB? Yes No
 - 5.1 Has the Brokerage ever entered into any form of compromise with its creditors? Yes No
 - 5.2 Has any Key Individual ever had a criminal judgement against them? Yes No
 - 5.3 Has the Brokerage ever been declared insolvent or liquidated? Yes No
 - 5.4 Has the Brokerage ever had a civil judgement against it? Yes No
6. Is the Brokerage's record of advice procedure FAIS compliant? Yes No
7. Is the Brokerage's complaints handling process FAIS compliant? Yes No
8. Does the Brokerage's Key Individuals and Representatives meet the FAIS Fit and Proper requirements? Yes No
9. Have all the Brokerage's registered Key Individuals passed the Level 1 Regulatory Examinations? Yes No
10. Have all the Brokerage's registered Representatives passed the Level 1 Regulatory Examinations? Yes No
11. Does the Intermediary have Professional Indemnity insurance cover as required by the FAIS Act? Yes No
12. Are there any restrictions on the licence of the Intermediary? Yes No

If the answer to any questions from 5.1 to 5.4 above were "yes", please provide a detailed explanation below:

Does the Intermediary warrant that it shall secure the integrity and confidentiality of the Personal Information in its possession or under its control by taking appropriate, reasonable technical and organisational measures to prevent loss of, or damage to, or unauthorised destruction of the Personal Information or unlawful access to or processing of the Personal Information?

Yes No

Does the Intermediary have due regard to generally accepted information security practices and processes which may apply to it? Yes No

Should you like your clients to receive marketing material such as direct mail campaigns, brochures etc, please confirm by selecting the relevant option Yes No

Section 4

Intermediary existing contracts

Does the Brokerage have any intermediary agreement with any other insurer? Yes No

Does the Brokerage have any binder agreement with any other insurer? Yes No

Does the Brokerage have any outsourcing agreement with any other insurer? Yes No

Has the Brokerage's intermediary agreement ever been cancelled by another insurer? Yes No

If yes, by which insurer and why?

Has the Brokerage ever been prohibited from doing business with an insurer? Yes No

If yes, by which insurer and why?

Section 5

Declaration and Consent

1. The Intermediary hereby applies for a Intermediary agreement with Clientèle subject to Clientèle's standard Terms and Conditions contained in its Intermediary agreement. The Intermediary acknowledges that it has no authority to obtain new business for Clientèle until a written intermediary agreement has been entered into with Clientèle.
2. The information contained herein is true and correct and shall form part of the intermediary agreement to be concluded between Clientèle and the Intermediary, should such an intermediary agreement be entered into. Should Clientèle at any stage, after entering into an intermediary agreement with the Intermediary, discover any of the information given herein to be false or incomplete, the intermediary agreement may be terminated immediately and without further notice by Clientèle.
3. Clientèle and/or the Authorised Representatives shall not be liable for any loss or damage suffered on account of incorrect information provided by the Intermediary or as a result of a change in its information or its misrepresentation or involvement in any fraudulent act.
4. The Intermediary accepts to advise the Authorised Representatives in writing should any of the information completed herein change subsequent to signature hereof.
5. The Intermediary accepts that Clientèle or the Authorised Representatives may authenticate the Principal's, Key Individual's or any Representative's identity via any credit bureau. Clientèle or the Authorised Representatives may also perform a search of the Intermediary's records with one or more of the Life or Short-term Insurers, previous or present employers, banks, Registrar of Companies, Deeds Office, Master of the Supreme Court, relevant Regulatory Body or any other interested party before, while or any time after considering this application.
6. The Intermediary accepts that Clientèle reserves the right to not appoint it for whatever reason.
7. The Intermediary undertakes to ensure that all its Representatives will be fully knowledgeable on Clientèle's products before marketing or selling any such products.
8. The Intermediary declares that it shall at all times comply with all relevant legislation, rules, regulations and directives. The Intermediary specifically declares that it shall comply with the Long Term Insurance Act no 52 of 1998, the Financial Advisory and Intermediary Services Act no 37 of 2002.
9. The Intermediary acknowledges that Clientèle is a member of ASISA and undertakes that the Intermediary shall adhere to the ASISA standards.
10. The Intermediary acknowledges that under certain circumstances, when the appointment of a Intermediary is terminated, and where there has been misconduct, Clientèle will be obliged to refer such misconduct to the Financial Services Board.

Name _____ Capacity _____ Signature _____ Date _____

(Who is authorised to sign)

The acceptance of this application is subject to the final approval by Clientèle. The Intermediary acknowledges that no legal and/or binding relationship whatsoever shall exist between it and Clientèle until such time as a written intermediary agreement has been entered into and signed between it and Clientèle.