

FSP CHECKLIST

Name of FSP

APPLICATION FORM

Application To Conduct Business (All sections Completed Fully and correctly) Yes No

Comments

Business Case Document Yes No

Comments

MEMORANDUM OF AGREEMENT

Address On Page 14 Yes No

Comments

Witnessed On Page 9-15 Yes No

Comments

Signed And Dated on Page 15 Yes No

Comments

FSB

Copy of the FSB Licence & Annexures Yes No

Comments

Are there any conditions that could affect the contract Yes No

Comments

Are there any Debarred Members Yes No

Comments

KEY INDIVIDUALS

Copy of Identity document Yes No

Comments

Proof of address Yes No

Comments

KI and RE certificate Yes No

Comments

Conditions Apply Yes No

Comments

REPRESENTATIVES

Copy of Identity document

Yes No

Comments

Confirmation of Address

Yes No

Comments

RE certificate

Yes No

Comments

Are there any individuals Applying for a broker code under supervision

Yes No

Comments

FICA

Identity document for all directors

Yes No

Comments

Confirmation of address for all directors

Yes No

Comments

Proof of address for the Entity

Yes No

Comments

Proof of banking for the Entity

Yes No

Comments

Proof of VAT Registration (If Applicable)

Yes No

Comments

Proof of Income Tax

Yes No

Comments

Certificate of incorporation

Yes No

Comments

Resolution of Board of Directors

Yes No

Comments

Notes:

Please ensure that the information provided on the FICA documentation is clear. All FICA documents must be less than 3 months old except for income tax forms/property insurance policy schedules.

Resolution of Board of Directors – Must be signed by all directors
Please refer to the application form for all related due diligence