

Compliance Consulting

Compliance Risk Management & Advisory Services

Financial Services Compliance CC Reg No CK 99/062199/23
 VAT Registration No 4250210111 • FSB Registration No 325
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SERVICES APPLICATION FORM (FAX TO 011 646 1587)

1. NAME OF CLIENT:
2. FSB LICENCE NUMBER:
3. REG NO. / ID NO.:
4. VAT REG NO.
5. CONTACT PERSON:
6. TEL:
7. CELL:
8. FAX:
9. E-MAIL:
10. PHYSICAL ADDRESS:
11. NO. OF KEY INDIVIDUALS:
12. NO OF REPS:
13. FINANCIAL YEAR END OF FSP:
14. CLIENT SERVICES AND PRODUCTS

	Product	Category I/II	A. Advice	B. Intermediary service
1	Long-term Insurance: Category A			
2	Short-term Insurance: Personal Lines			
3	Long-term Insurance: Category B			
4	Long-term Insurance: Category C			
5	Retail Pension Benefits			
6	Short-term Insurance: Commercial Lines			
7	Pension Fund Benefits (excluding retail pension benefits)			
8	Securities and Instruments: Shares			
9	Securities and Instruments: Money market instruments			
10	Securities and Instruments: Debentures and securitised debt			
11	Securities and Instruments: Warrants, certificates and other instruments acknowledging			
12	Securities and Instruments: Bonds			
13	Securities and Instruments: Derivative instruments			
14	Participatory interests in Collective Investment Schemes			
15	Foreign currency denominated investment instruments			
16	Health Service Benefits			
17	Deposits as defined in the Banks Act – exceeding 12 months			
18	Deposits as defined in the Banks Act – 12 months or less			
19	Friendly Society Benefits			
17	Other products and services (describe):			

15. OUR SERVICES

Service	Mark with X	Fees
Appointment as compliance officer with FSB in terms of FAIS		As agreed to in writing.
FSP application		"
Consulting services/Other (detail):		"

16. COMMENCEMENT DATE OF COMPLIANCE SERVICES:

17. FEES PAYABLE MONTHLY IN ADVANCE!!!

Signed at _____ on _____

Terms and Conditions

_____ duly authorised (signature)

1. The Client hereby mandates Compliance Consulting to render the services on the terms set out herein.
2. Our services are subject to Compliance Consulting's standard Terms and Conditions available on www.complianceconsulting.co.za which are incorporated herein by reference.