FEDGROUP

APPLICATION FOR A BROKERAGE CONTRACT TO ACT AS INTERMEDIARY

1. OFFICE USE ONLY

FG number

F G

Consultant

2. IMPORTANT NOTES

1.FedGroup comprises of the following entities:

1.1 FedGroup Participation Bond Managers Pty Ltd
1.2 FedGroup Life Limited Ltd
1.3 FedGroup Trust Administrators Pty Ltd
1.4 FedGroup Fund Administrators Pty Ltd
1.5 FedGroup Asset Management Pty Ltd
1.6 FedGroup Employee Benefits Pty Ltd
1.7 FedGroup Financial Services Pty Ltd

2. "Brokerage" refers to the entity that has been registered as FSP in terms of FAIS (company, firm, etc)
3. "Financial Planner" refers to a broker giving advice

3. PARTICULARS OF BROKERAGE

Type of business

Company ☐ Close Corporation ☐ Sole Proprietor ☐ Partnership ☐

Name of Business

Registration Number (if applicable)

Physical address

Code

Postal address

Code

Contact person's name

Email

Cell number

FSP registration number

Tel number

VAT number (if applicable)

Fedgroup Asset Management Pty Ltd (Reg. No. 1997/007878/07) FAIS No. 665, License 13B: No. 24/536
Fedgroup Life Ltd (Reg. No. 2007/018003/06) FAIS No. 40607
Fedgroup Employee Benefits Pty Ltd (Reg. No. 2008/013532/07) License 13B: No. 24/493
Fedgroup Trust Administrators Pty Ltd (Reg. No. 1951/003389/07) FIAS No. 16302, License 13B: No. 24/505
Fedgroup Participation Bond Managers Pty Ltd (Reg. No. 1956/001143/07) CIS 804
Fedgroup Financial Services Pty Ltd (Reg. No. 2012/000697/07) FIAS No. 45563
Fedgroup Fund Administrators Pty Ltd (Reg. No. 1990/002515/07) FIAS No. 45563 FSP: 26/10/6690

89 Bute Lane, Sandton. PO Box 782823, Sandton, 2146. **T** 011 305 2300 **F** 011 305 2500 info@fedgroup.co.za fedgroup.co.za

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4. WHERE APPLICABLE, ATTACH THE FOLLOWING DOCUMENTS

Please tick the appropriate box

- Tax clearance certificate ☐
- Copy of the FAIS license (all three pages) ☐
- Copy of the VAT registration certificate ☐
- Copies of all financial planners' identity documents (ID Document, Proof of residence and RE5 certificate) ☐
- Copy of proof of bank account (Not older than 3 months) ☐
- FICA Documentation (Utility bill for brokerage) ☐
- Annual compliance certificate ☐
- CK documents (all pages) ☐
- RE1 & RE5 certificate of KI ☐

5. PLEASE INDICATE WHICH PRODUCT YOU WOULD LIKE TO MARKET

Participation Bonds ☐	Fiduciary Services ☐	Group Risk ☐	Beneficiary Care ☐
Fund Administration ☐	Asset Management ☐	Distinction Umbrella ☐	

6. BANKING DETAILS (FOR COMMISSION PAYMENTS)

Name of account holder

Name of bank

Account no

Branch name

Branch no

- -

Type of account

Current ☐ Savings ☐ Transmission ☐

7. AUTHORISATION AND DECLARATION (ON BEHALF OF THE BROKERAGE)

1. The brokerage authorises Fedgroup to obtain information from 3rd parties to ascertain the brokerage's fit and proper status, also of its Key Individuals and Representatives.

2. It is acknowledged that the brokerage is not authorized to canvass business for Fedgroup until such time that the brokerage has received an "Approval to act as Fedgroup Intermediary" letter. Should the brokerage canvass any business prematurely, Fedgroup will at its own discretion decide whether or not the brokerage should receive payment for such business.

3. It is agreed that should Fedgroup enter into a brokerage contract with the brokerage, this application will form part of such contract.

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7. AUTHORISATION AND DECLARATION (ON BEHALF OF THE BROKERAGE) CONTINUED

4. It is declared and agreed that if:

4a. Any of the information provided on behalf of the brokerage to FedGroup Financial Services is incorrect and/or incomplete; FedGroup enters into a brokerage contract with the brokerage and the brokerage subsequently neglects, or fails to inform and provide FedGroup with full details, should:

- an additional financial planner be appointed by the brokerage or should a financial planner terminate his or her services with the brokerage;
- there be changes with regards to the business or the board, members and/or shareholders pertaining to the brokerage; the brokerage's business address change;
- the brokerage's Financial Services Provider licence be suspended and/or not renewed any changes that occur to any of the brokerage's Key Individuals and Representatives;

4b. The agreement shall then be dealt with in terms of the contract with regards to any suspension or termination.

8. BROKERAGE PRINCIPAL/SOLE PROPRIETOR

Name and Surname

in his capacity as

at (place)

Signature

Date

D D M M Y Y Y Y

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