

## Form FSP 1 - Page 1 of 4

**BUSINESS INFORMATION OF FINANCIAL SERVICES PROVIDER**

FSP Name

FSP No

**Instructions:**

All applicants must complete *Form FSP1*, which relates to the business information of the applicant. All fields must be completed unless it specifically states "if applicable".

**Explanatory notes** (*The number next to the note refers to the relevant fields that must be completed.*)

- 1.1/1.2** Provide the full name of the sole proprietor (natural person) or entity and, where applicable, the trading name of the business must be provided. If the trading name is the same as the sole proprietor's or entity's name, provide the sole proprietor's or entity's name. In the case of the applicant being a division of an entity provide the entity's name (1.1) and the division's name (1.2).
- 1.3** The relevant institutional form must be indicated and the required information must be provided. If the applicant is a partnership, close corporation, company, trust, union or other entity, *Form FSP 3* must be completed in respect of every partner, member, director, trustee, secretary general or responsible person. In the case of a public company, details of shareholders that hold more than 25% of the issued share capital must be provided, and in the case of a private company, *Form FSP 3* must be completed in respect of each shareholder.
- 1.4** All contact details of the FSP must be provided. These details will be used in all correspondence with the applicant as well as to liaise with the applicant after the licence has been granted. Ensure that details are updated if they change after the application has been lodged.
- 1.5** Details of the person responsible for liaising with the Registrar must be provided. All correspondence from the Registrar will be sent to the designated person.
- 1.6** The financial year-end of the FSP must be provided.
- 1.7** The business bank account details used for the activities of the FSP must be provided. If the FSP is to receive money on behalf of clients, and where the Act requires a separate bank account [Part VIII of the General Code of Conduct for Authorised Financial Services Providers and Representatives, 2003 (BN 80/2003)], such an account should be opened for the purpose of depositing clients' funds therein and the information pertaining to the separate account must be provided. If there is more than one business or separate bank account, provide the details of the main account number on the form and attach a list of the other account numbers.
- 1.8** Details of the person responsible for dealing with the payment of fees and levies on behalf of the FSP must be provided, even if the person is the same as the contact person.
- 1.9** Foreign regulation – if the entity is subject to foreign regulation provide the foreign regulator's name as well as proof of registration (the document provided as proof should be dated and not be older than two months).
- 1.10** Local regulation – if the entity is subject to regulation imposed by a regulator other than the Financial Services Board, provide the regulator's name.
- 1.11** Details of the guarantee policy required under section 45 of the Short-term Insurance Act, 1998 (Act No. 53 of 1998), and the regulations issued pursuant thereto, for applicants receiving, holding or in any other manner dealing with premiums payable under a short-term insurance policy must be provided and a copy of the guarantee policy must be attached.
- 1.12** An explanation of the applicant's business activities must accompany the application.

1.1 Name

1.2 Trading name or name of division where applicable

1.3 Institutional form of the applicant

1.3.1 Sole proprietor

Identity number

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Date of Birth

1.3.2 Partnership

1.3.3 Trust

Master's Reference Number/  
Registration Number

Country of registration

1.3.4 Close Corporation

Registration number

1.3.5 Company

Registration number

Country of registration

If incorporated in South Africa please provide the type of company:

- Public
- Private
- Section 21

If not incorporated in South Africa provide description of company:

1.3.6 Union

Registration Number

1.3.7 Other

Specify type of entity

Registration Number

1.4 Contact details

Physical address

Postal Code

Postal Address

Postal Code

Telephone number

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Fax Number

Website Address  
(if applicable)

**1.5 Contact Person**

Title

Initials

Surname

Cell phone number or  
Telephone number

E-mail address  
(if applicable)

1.6 Financial year-end

**1.7 Bank Details**

Business: Bank

Branch Code

Account No.

**1.7.1 Does the applicant receive or hold money or premium on behalf of a client or product supplier (excluding short-term insurance premium) in the course of rendering financial services?**

Yes  No

If yes, provide details of separate bank account

Separate account: Bank   
(if applicable)

Branch Code

Account No.

**1.8 Person responsible for the levy payment**

Contact person responsible for dealing with the payment of fees, penalties and levies

Title

Initials

Surname

Telephone Number

E-mail address  
(if applicable)

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**1.9 Are you subject to regulation in a foreign country as a financial services intermediary?**Yes  No 

If yes, which jurisdiction/s?

Name of foreign regulator/s

Have you attached proof of registration? **1.10 Are you subject to regulation by a local regulator other than the Financial Services Board?**Yes  No 

If yes, which regulator/s?

**1.11 Are you receiving short-term insurance premium in terms of section 45 of the Short-term Insurance Act, 1998?**Yes  No If yes, provide details of the  
guarantee policy (e.g. IGF no.).Have you attached a copy of your guarantee policy? **1.12 Have you attached an explanation of your business activities?**