

NEW CONTRACTS - CHECKLIST

Complete tick box for all attached documents

ORGANISATION REQUIREMENTS

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| 01 Application for intermediary house <ul style="list-style-type: none"> ▪ Distribution Channel and Consultant must be indicated in spaces provided | |
| 02 RSA ID Copy (For All Directors/Members) | |
| 03 Company registration Documentation (CIPC, CK Documentation) | |
| 04 Original proof of banking details (In the name of the company) <ul style="list-style-type: none"> ▪ Physically signed or stamped by the bank ▪ Letter with online verification code acceptable ▪ No older than 3 months | |
| 05 Copy of SARS IT150 Income Tax Certificate | |
| 06 Copy of SARS VAT 103 Certificate (if VAT registered) | |
| 07 Medical Council Certificate for Organization <ul style="list-style-type: none"> ▪ Must match the company name and FSB License | |
| 08 FSB License (In name of Company or Mandate) | |

INTERMEDIARY REQUIREMENTS

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| 09 Intermediary Application (for each broker) <ul style="list-style-type: none"> ▪ Distribution Channel and Consultant must be indicated in spaces provided | |
| 10 Indemnity Form (for each broker) | |
| 11 RSA ID Copy (for each broker) | |
| 12 FICA/Proof of residence (for each broker) <ul style="list-style-type: none"> ▪ No older than 3 months | |
| 13 Medical Council Certificate (for each broker applying for Health) | |
| 14 FSB License (each broker loaded as a representative on the FSP's license) | |

AGREEMENTS

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| 15 Completed Agreements (must be original) <ul style="list-style-type: none"> ▪ Company Name and Registration number on all Agreements ▪ Name and registration number must match the name on company documentation and FSB license ▪ Cannot be in the name of an individual advisor unless it is a sole proprietor and matches the name on the FSB license ▪ Must be signed by listed Director or mandated individual ▪ Bottom right hand of each page must be initialed by signing Director and two witnesses ▪ Agreement cannot be witnessed or signed on behalf of Discovery ▪ Where signatures are provided, the signatory must date and place in spaces provided | |
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SURETY REQUIREMENTS (ONLY IF APPLICABLE)

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| 16 Personal Balance Sheet (to be completed by individual standing surety) | |
| 17 Deed of Suretyship Agreement <ul style="list-style-type: none"> ▪ Must be original and completed in the same manner as the product Agreement ▪ If married in Community of Property, spouses ID number and signature must be provided in spaces applicable ▪ If multiple owners, separate deed of suretyship must be completed by each individual | |
| 18 Indemnity Form (for each signatory of the Deed of Suretyship) | |
| 19 RSA ID copy (for each signatory of the Deed of Suretyship) | |
| 20 Property (Bond Statement or Title Deed) <ul style="list-style-type: none"> ▪ Must match the property provided on the personal balance sheet | |
| 21 Property Valuation <ul style="list-style-type: none"> ▪ Must match the property provided on the personal balance sheet | |