

**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 The full name and, where applicable, the trading name of the business must be provided. If the name is the same as the natural person's or entity's name, provide the natural person's or entity's name. In the case of a division provide the entity's name (1.1) and the division's name (1.2).
- 1.3 The relevant business format must be indicated and the required information must be provided. If the applicant is a partnership, close corporation, company or trust, Form FSP 3 must be completed in respect of every partner, member, director, or trustee. 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, 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.
- 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.

1.1 Name

1.2 Trading name or division where applicable

1.3 Type of business

1.3.1 Natural Person

Identity number

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

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If not incorporated in South Africa provide description of company:

**1.4 Contact details**

Physical address

Postal Code

Postal Address

Postal Code

Telephone number

Fax Number

Website Address  
*(if applicable)*

**1.5 Contact Person**

Title

Initials

Surname

Cell phone number

Telephone number

E-mail address  
*(if applicable)*

**1.6 Financial year-end**

(mm/yy)

**1.7 Bank Details**

Business:	Bank	<input type="text"/>
	Branch Code	<input type="text"/>
	Account No.	<input type="text"/>
Separate account: <i>(if applicable)</i>	Bank	<input type="text"/>
	Branch Code	<input type="text"/>
	Account No.	<input type="text"/>

**1.8 Accounting Information**

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

Title	<input type="text"/>
Initials	<input type="text"/>
Surname	<input type="text"/>
Cell phone number	<input type="text"/>
Telephone number	<input type="text"/>
E-mail address <i>(if applicable)</i>	<input type="text"/>

**1.9 Are you subject to regulation as a financial services intermediary or advisor in another jurisdiction?**

Yes  No

If yes, which jurisdiction/s?

Name of foreign regulator/s

**1.10 Are you subject to regulation by a local regulator other than the Financial Services Board?**

Yes  No

If yes, which regulator/s?