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| **FITNESS AND PROPRIETY OF APPLICANT’S DIRECTORS, MEMBERS, TRUSTEES AND PARTNERS** | |
| **FSP Number** | {company.fspCode} |
| **Applicant Name** | {company.name} |

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| **Instructions and notes:**   1. Every director, member, trustee or partner of an applicant must complete this Form. 2. A passport number will only be accepted if the person completing the form is not a South African Citizen. 3. Race must only be indicated if the person completing the form is a South African Citizen. 4. A copy of the identification document of the person referred to in paragraph 1 (if he/she is a South African citizen) or passport (if he/she is not a South African Citizen) must accompany the application. 5. Any change to the information provided in this form must be reported to the Authority, in writing, within 15 days after the change has taken place. | | | | | |
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| 1. **Personal Details** | | | | | |
| Provide the following information: | | | | | |
| **Title** | {individual.title} | | | | |
| **Full Name(s)** | {individual.firstName} | | | | |
| **Surname** | {individual.surname} | | | | |
| **Previous Surname**  (If applicable) | {individual.previousName} | | | | |
| **Date of Birth** | {individual.birthDate} | | | | |
| **Nationality** | {individual.country.name} | | | | |
| **Country of residence** | {individual.personalAddress.country.name} | | | | |
| **Identity / Passport Number**  *(Passport no. must only be provided if applicant is not a SA citizen*) | {individual.idCode}  {individual.passportCode} | | | | |
| **Gender** | **Male** | | | | **Female** |
| **Race** | **Black** |  | | | |
| **White** |  | | | |
| **Coloured** |  | | | |
| **Indian** |  | | | |
| **Asian** |  | | | |
| **Other** |  | **Please specify:** |  | |
| **Physical address** | {individual.personalAddress} | | | | |
| **Postal Code** |  | | | | |
| **Postal address** | {individual.postalAddress} | | | | |
| **Postal Code** |  | | | | |
| **Telephone Number** | {individual.telephone} | | | | |
| **Mobile Phone Number** | {individual.cell} | | | | |
| **E-mail address** | {individual.email} | | | | |

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| 1. **Honesty, integrity and good standing** | | | |
| Answer all the questions below. If the answer to any of the questions is YES, provide a full explanation and all information in a separate annexure and attach to the application form. | | | |
| Questions | | | |
| Has the applicant ever-  *(The reference to applicant in this section refers to the person completing the form, i.e. the director, member, trustee or partner)* | | Yes | **No** |
|  | been found guilty in any criminal proceedings or liable in any civil proceedings by a court under any law in any jurisdiction of-   1. an offence under a law relating to the regulation or supervision of a financial institution as defined in the Financial Institutions (Protection of Funds) Act, 2001 (Act No. 28 of 2001) or a corresponding offence under the law of a foreign country; 2. theft, fraud, forgery, uttering a forged document, perjury or an offence involving dishonesty, breach of fiduciary duty, dishonourable or unprofessional conduct; or 3. an offence under the Prevention of Corruption Act, 1958 (Act No. 6 of 1958), the Corruption Act, 1992 (Act No. 94 of 1992) or Parts 1 to 4, or section 17, 20 or 21, of the Prevention and Combating of Corrupt Activities Act, 2004 (Act No. 12 of 2004), or a corresponding offence under the law of a foreign country? |  |  |
|  | been convicted of any other offence committed after the Constitution of the Republic of South Africa, 1996, took effect, where the penalty imposed for the offence was a significant fine? |  |  |
|  | accepted civil liability for, or has been the subject of a civil judgment in respect of, theft, fraud, forgery, uttering a forged document, perjury or an any conduct involving dishonesty, breach of fiduciary duty, misrepresentation, or negligent, dishonourable and unprofessional conduct? |  |  |
|  | been the subject of frequent or material preventative, remedial or enforcement actions by the Authority or a regulatory authority? |  |  |
|  | been removed from an office of trust for theft, fraud, forgery, uttering a forged document, misrepresentation, dishonesty, breach of fiduciary duty or business conduct? |  |  |
|  | breached a fiduciary duty? |  |  |
|  | been suspended, dismissed or disqualified from acting as a director, managing executive, public officer, auditor or statutory actuary (or his or her alternate) under any law or any action to achieve one of the aforementioned outcomes has been instituted against the person? |  |  |
|  | been refused a registration, approval, authorisation or licence to carry out a trade, business or profession, or has had that registration, approval, authorisation or licence suspended, revoked, withdrawn or terminated by a regulatory authority? |  |  |
|  | been denied registration or membership of any professional body or has had that registration or membership revoked, withdrawn or terminated by a professional body because of matters relating to honesty, integrity, or business conduct? |  |  |
|  | been disciplined, reprimanded, disqualified, or removed in relation to matters relating to honesty, integrity, incompetence or business conduct by a-   1. professional body; or 2. regulatory authority,   or has any action to achieve one of the aforementioned outcomes been instituted against the applicant? |  |  |
|  | knowingly been untruthful or provided false or misleading information to, or been uncooperative in any dealings with, the Authority or a regulatory authority? |  |  |
|  | demonstrated a lack of readiness and willingness to comply with legal, regulatory or professional requirements and standards? |  |  |
|  | been found to be not fit and proper by the Authority or a regulatory authority in any previous assessments of fitness and propriety? |  |  |
|  | been involved or is the applicant involved as a director, trustee, member partner, controlling shareholder or managing executive, or is the applicant concerned in the management, of a business that has been-   1. the subject of any matter referred to in questions 1 to 13 above, or 2. placed in liquidation or business rescue;   while the applicant has been connected with that organisation? |  |  |
|  | failed to disclose any information required to be disclosed in terms of the Act? |  |  |
|  | been prohibited, by the Authority or any other regulatory body or authority from operating in the financial services industry? |  |  |
|  | been involved with an entity which has been censured, disciplined, suspended or refused membership or registration by a stock exchange, futures exchange, other market or regulatory body or authority? |  |  |
|  | knowingly or negligently aided or abetted other persons in the breaching of any laws, regulations, exchange rules and/or codes of conduct? |  |  |
|  | been the subject of any investigation or disciplinary proceedings by any regulatory authority (whether in the Republic or elsewhere), exchange, professional body, government body or agency? |  |  |
|  | been or is its estate sequestrated or liquidated, either voluntarily or involuntarily? |  |  |
|  | been or currently is subject to any pending proceedings that may lead to a conviction of any offence or finding of any liability under any law in any jurisdiction? |  |  |
|  | been or currently is subject to any investigation or proceedings or pending proceedings or is the applicant aware of any investigations or proceedings that may commence? |  |  |
|  | been or currently is subject to any other proceedings that may result in any matter referred to in question 1 to 22? |  |  |

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| **3. General Disclosure Question** |
| **Do you have any additional information, which should be brought to the Authority’s attention that may have an impact on the evaluation by the Authority of your honesty, integrity or good standing or that may impact on the applicant’s ability to obtain or maintain a licence to act as a financial services provider?**  *[If the answer to the questions is YES, a full explanation and all relevant information must be provided in a separate annexure.]* |
| **Yes  No** |

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| **4. Consent** |
| I, ………………..………………………………………………….. (full name of director, member, trustee or partner)  Identity / passport number ……………………………………………………. hereby authorise the **Authority**, and its duly authorised verification agent, to request or confirm any personal information as well as any other information that I have provided in support of the application to any personal data holders (including but not limited to the South African Police Services, the Government of the RSA, industry bodies and associations, employers and any educational, training, credit bureau and fraud prevention organisations) for the purpose of verifying my personal credentials and records, as well as any other information necessary for purposes of the application.  Credential verification types include, but are not limited to, educational qualifications, professional membership, employment history, employment references including industry employment registers, consumer credit, criminal records, drivers’ licence, and fraud prevention checks.  I authorise the personal data holders (including but not limited to the aforesaid institutions) to furnish information regarding my credentials, whether claimed or not, to the **Authority** and it’s duly authorised verification agent. I unconditionally indemnify the **Authority**, its verification agent and the personal data holders against any liability that may result from furnishing information in this regard. |

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**Name Signature Date**