

# New Advisors

## New Advisors Form

Please send to client support ([clientsupport@capital-sa.com](mailto:clientsupport@capital-sa.com)) when complete.

### New Advisor:

Company Name:

### 1 We hereby appoint the following new advisor:

Name:

Email:  Contact No.

### 2 We authorise this person to have the following authority on behalf of the company;

View online portfolios

Provide dealing instructions

Provide withdrawal requests

For any individuals requiring dealing access please provide; Certified copies of passport and proof of address (not older than 6 months). Please note that if the individuals have existing dealing rights, Due Diligence documents will not be required.

We require this person to be added to our main company code; or

We require this person to have an individual code whereby only their own portfolios are visible.

For individual code set-up, please add the following admin users;

#### Admin 1:

Name:

Email:  Contact No.

#### Admin 2:

Name:

Email:  Contact No.

#### Admin 3:

Name:

Email:  Contact No.

### 3 Signatures

#### Authorised Signature:

Name:

Signatory:

Date: (dd/mm/yyyy)

#### Advisors Signature:

Name:

Signatory:

Date: (dd/mm/yyyy)

Please continue onto the next page for the Due Diligence Form - KYC Declaration 

# New Advisors

## New Advisors Form



Please complete all fields as missing information will cause delays when processing your form.

As the appointed Key Individual of  registered with the Financial Sector Conduct Authority with FSP no:  I herewith confirm the following:

### Regulatory & Anti-Money Laundering (AML) Counter Terrorist Financing (CTF) Policies, Practices and Commitments:

- |  |   |
|--|---|
| <input type="checkbox"/> The FSP is an accountable institution as contemplated within Schedule 1 of the FIC Act.   | <input type="checkbox"/> Business policies and processes in place to ensure that suspicious and unusual transactions can be reported to the Financial Intelligence Centre.                                |
| <input type="checkbox"/> A fully developed Risk Management and Compliance Programme has been implemented.  | <input type="checkbox"/> Processes implemented in respect of cash threshold reporting.  |
| <input type="checkbox"/> Documented business processes and controls are in place to establish the identity of clients and to verify the information, so obtained and proper records of such documentation have been received to ensure compliance with the requirements of FICA. | <input type="checkbox"/> Processes implemented relating to reporting on property associated with terrorist and related activities; and  |
| <input type="checkbox"/> Documented processes to conduct customer due diligence following a risk-based approach and the relevant records has been kept and maintained relating to such customer due diligence.   | <input type="checkbox"/> Incorporated the management of compliance in relation to FICA (and other related legislation) into its Risk Management functions and controls.                                   |
| <input type="checkbox"/> Have the appropriate enhanced due diligence for customers and transactions that you have identified may pose a heightened risk of illicit activities.   | <input type="checkbox"/> AML Compliance Programme is audited and reviewed on a regular basis.   |
| <input type="checkbox"/> Conduct an ongoing monitoring for all customers onboarded.  | <input type="checkbox"/> Training records are retained including all attendance and relevant material use.  |
| <input type="checkbox"/> Screen customers and transactions against lists of persons, entities or countries of origin.  | <input type="checkbox"/> Abovementioned FSP has not been subject to any fines / restrictions by any Regulator or financial sanctions at any stage (If yes, kindly provide detail in a separate annexure). |

### FAIS Regulatory Framework: I furthermore herewith confirm

- |  |   |
|--|---|
| <input type="checkbox"/> That all appointed Representatives and Key Individuals meet the relevant requirements set out within BN 194 of 2017.  | <input type="checkbox"/> That the FSP has submitted annual financial statements for its financial yearend and the FSP complies with the Financial Soundness requirements. |
| <input type="checkbox"/> That none of the appointed Representatives and Key Individuals have been subject to frequent or material preventative, remedial or enforcement actions by the FSCA or any other Regulatory Authority. | <input type="checkbox"/> A TCF Policy is implemented and reviewed on a regular basis.   |
| <input type="checkbox"/> That the FSP is up to date with its reporting obligations under the FAIS Act.   | <input type="checkbox"/> Abovementioned FSP's complaints process is clear and easy to understand and all complaints (if any) is handled fairly, promptly and impartially. |

### Declaration Confirmation Signature

<input type="text"/>	<b>Print Name:</b>	<input type="text"/>
	<b>Position/Title:</b>	<input type="text"/>
	<b>Date Signed:</b>	/ <input type="text"/> / <input type="text"/>

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