

CHECKLIST FOR APPLYING BROKER AGREEMENT



Insured By: Guardrisk Insurance Company Limited |
 Reg 1992/001639/06 | FSP 75
 Address – 102 Rivonia Rd, Sandton | Postal- PO Box 783542
 Sandton 2146 | Tel- 0860 002 500



Administered by: Sasfin HRS Administrators (Pty) Ltd |
 Reg 2014/074456/07 | FSP45422
 Address – 97 Milner Rd, Kensington B, Randburg | Postal- PO Box 321
 Cramerview 2060 | Tel- 011 840-6000

BROKER APPLICATION	CHECK CONFIRMATION	CONFIRMED
1) Name of Brokerage	1.1) Confirmed with CIPC	<input type="checkbox"/> Yes <input type="checkbox"/> No
	1.2) Copy of Company Registration	<input type="checkbox"/> Yes <input type="checkbox"/> No
2) Date of commencement	Agreed with Broker	<input type="checkbox"/> Yes <input type="checkbox"/> No
3) Broker Information Sheet	3.1) Completed form	<input type="checkbox"/> Yes <input type="checkbox"/> No
	3.2) Broker logo received (pdf or jpeg)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	4.1) Copy of FSP License	<input type="checkbox"/> Yes <input type="checkbox"/> No
4) FSCA Verification (per FSCA web-site)	4.2) Key Individuals	<input type="checkbox"/> Yes <input type="checkbox"/> No
	4.3) Copy of Key Individuals ID's	<input type="checkbox"/> Yes <input type="checkbox"/> No
	4.4) Rep's Register	<input type="checkbox"/> Yes <input type="checkbox"/> No
	5.1) Copy of current PI Schedule	<input type="checkbox"/> Yes <input type="checkbox"/> No
5) Professional Indemnity Cover	5.2) Policy no.	<input type="checkbox"/> Yes <input type="checkbox"/> No
6) Compliance Officer	Details confirmed per FSCA web-site	<input type="checkbox"/> Yes <input type="checkbox"/> No
7) SARS	PSP Affidavit	<input type="checkbox"/> Yes <input type="checkbox"/> No
8) Banking Details Verification	Copy of crossed cheque or bank statement	<input type="checkbox"/> Yes <input type="checkbox"/> No
9) Signed Agreements	9.1) Sasfin HRS	<input type="checkbox"/> Yes <input type="checkbox"/> No
	9.2) Guardrisk	<input type="checkbox"/> Yes <input type="checkbox"/> No
	9.3) MMX Systems Registration Form	<input type="checkbox"/> Yes <input type="checkbox"/> No
10) References	List of current Broker Agencies included.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11) Relationship Manager Allocated	Allocated	<input type="checkbox"/> Yes <input type="checkbox"/> No
12) Approved by Sasfin HRS Management	Approved	<input type="checkbox"/> Yes <input type="checkbox"/> No
13) MMX Systems	13.1) Agency loaded	<input type="checkbox"/> Yes <input type="checkbox"/> No
	13.2) Commission % verified	<input type="checkbox"/> Yes <input type="checkbox"/> No
	13.3) Broker fees confirmed	<input type="checkbox"/> Yes <input type="checkbox"/> No
14) BBEEE Status	Attach certificate for current year (if applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No
15) Additional Comments		

