

APPLICANT PERSONAL INFORMATION FORM

Applicant Full Names & Surname	
ID Number	
E-mail Address	
Residential Address	
Contact Number	

A	PERSONAL SOLVENCY STATUS	Y	N	NA
1	Have you ever in the past been declared insolvent?			
2	Have you been successfully rehabilitated? If so, provide copy of court document.			
3	Have you recently been declared insolvent or provisionally insolvent? (Un-rehabilitated)			
4	Are you a subject to any pending proceedings which may lead to the outcome above?			
5	Have you recently applied for debt review or been placed under debt management?			

B	PERSONAL FIT & PROPER STATUS	Y	N	NA
1	Have you ever in the past been debarred? If so, provide a full report.			
2	Are you a subject to any pending proceedings which may lead to the outcome above?			
3	Have you been granted any currently valid exemption by the Registrar? If so, provide proof.			
4	Have you recently exceeded any statutory deadlines for which you do not currently have any favourable exemption granted? If so, please provide details below.			

C	HONESTY, INTEGRITY & GOOD STANDING ASSESSMENT	At any time in the past:		Y	N
1	Have you been found guilty (which conviction has not been expunged) in any criminal proceedings or liable in any civil proceedings by a court under any law in any jurisdiction of 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 No. 28 of 2001 or a corresponding offence under the law of a foreign country?				
2	Have you been found guilty (which conviction has not been expunged) in any criminal proceedings or liable in any civil proceedings by a court under any law in any jurisdiction of theft, fraud, forgery, uttering a forged document, perjury or an offence involving dishonesty, breach of a fiduciary duty, dishonourable or unprofessional conduct?				
3	Have you been found guilty (which conviction has not been expunged) in any criminal proceedings or liable in any civil proceedings by a court under any law in any jurisdiction of an offence under the Prevention of Corruption Act No. 6 of 1958, the Corruption 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 No. 12 of 2004 or a corresponding offence under the law of a foreign country?				
4	Have you been convicted (and that conviction has not been expunged) 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 or may be imprisonment without the option of a fine, or a significant fine?				

5	Have you accepted civil liability for, or have you been the subject of a civil judgement in respect of theft, fraud, forgery, uttering a forged document, perjury or any conduct involving dishonesty, breach of fiduciary duty, misrepresentation, or negligent, dishonourable and unprofessional conduct?		
6	Have you been the subject of frequent or material preventative, remedial or enforcement actions by the Registrar or a regulatory authority?		
7	Have you been removed from an office of trust for theft, fraud, forgery, uttering a forged document, misrepresentation, dishonesty, breach of fiduciary duty or business conduct?		
8	Have you at any time breached a fiduciary duty?		
9	Have you 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 has any action to achieve one of the aforementioned outcomes been instituted against you?		
10	Have you been refused a registration, approval, authorisation or licence to carry out a trade, business or profession, or have you had such registration, approval, authorisation or licence suspended, revoked, withdrawn or terminated by a regulatory authority?		
11	Have you been denied registration or membership of any professional body or has such registration or membership been revoked, withdrawn or terminated by a professional body because of matters relating to honesty, integrity or business conduct?		
12	Have you been disciplined, reprimanded, disqualified or removed in relation to matters relating to honesty, integrity, incompetence or business conduct by a professional body or regulatory authority or any has any action to achieve one of the aforementioned outcomes been instituted against you?		
13	Have you knowingly been untruthful or provided false or misleading information to or been uncooperative in any dealings with the Registrar or regulatory authority?		
14	Have you demonstrated a lack of readiness and willingness to comply with legal, regulatory or professional requirements and standards?		
15	Have you been found to be not fit and proper by the Registrar or a regulatory authority in any previous assessments of fitness and propriety?		
16	If so, have the reasons therefor been remedied?		
17	Have you been involved or are you currently involved as a director, trustee, member, partner, controlling shareholder or managing executive or are you concerned in the management of a business that has been the subject of any matter referred to above, including being placed in liquidation or business rescue while you were connected with that organisation or within one year of such connection?		
18	Have you disclosed all information required to be disclosed in terms of the Financial Advisory and Intermediary Services Act No. 37 of 2002, relating to your personal honesty, integrity and good standing?		

Q#	INFORMATION REGARDING QUESTIONS ANSWERED “YES” ABOVE.

I, the undersigned applicant, hereby declare that I have completed the above questions accurately and truthfully.

I hereby provide written permission for the FSP (or their agent) to perform various security, verification and/or credit checks on myself, as an applicant employee.

Thus done and signed at _____ on _____

SIGNATURE OF APPLICANT

NAME

SIGNATURE OF WITNESS

NAME

Documents required to be provided to the FSP:

1. A fully completed and signed **Applicant Personal Information Form**;
2. A **signed letter of consent** from the candidate representative to obtain DOFA information (a Date of First Appointment report) from the Financial Sector Conduct Authority;
3. A certified copy of the **candidate's ID** document;
4. A certified copy of the **candidate's Matric Certificate** (or other equivalent);
5. Certified **copy(ies) of Qualification(s)** (if applicable);
6. Copy(ies) of certificates for **Regulatory exam** completed (if applicable);
7. Letter(s) of **Confirmation of Supervision** period completed under previous supervisor where supervision has not been concluded and will still be ongoing;
8. Proof of any currently **valid Exemptions Granted** to the candidate by the Registrar;
9. Confirmation of **Class of Business Training** completed (if applicable);
10. Confirmation of **Product Specific Training** completed (if applicable);
11. A comprehensive report regarding previous **Debarment or similar action** against the candidate;
12. Copies of relevant **Court Orders relating to solvency rehabilitation** (if applicable).