***DOCUMENTS RECEIVED AND SIGNED***

*Client Full Name and Surname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Broker Name and Surname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Policy nr: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Application date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | *RECEIVED:* |  |
| *1* | *Broker Disclosure* |  |
| *2* | *Authority to obtain information and*  *Advisor Appointment* |  |
| *3* | *General Clients Needs Analysis* |  |
| *4* | *Client investment needs analysis and Risk profile* |  |
| *5* | *Clients Advise Record* |  |
| *6* | *FICA Risk Rating Checklist* |  |
| *7* | *Client Analysis* |  |
| *8* | *Quotation* |  |
| *9* | *Application / Appointment* |  |
| *10* | *FICA Documents* |  |
|  | *10.1 FICA Statement* |  |
|  | *10.2 Proof of ID* |  |
|  | *10.3 Proof of residence* |  |
|  | *10.4 Proof of bank detail* |  |

|  |  |
| --- | --- |
| *Authorized user:* | *Smit Adviseurs (Pty) Ltd* |
| *FSP Number:* | *44595* |
| *Broker:* | *Jaco Verster (Under supervision van Mariette vd Westhuizen)* |

*I ……………………………………………………. Confirm that the above has been discussed with me and that I have received the disclosure and customer advice record.*

SIGNED AT: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ON THE DAY OF: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

CLIENT SIGNATURE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

BROKERS SIGNATURE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_