**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: | Lizl van der Merwe |

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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_