

- Please send the completed form and documentation to **086 677 0007 (fax)** or transact@coronation.co.za
- Should you have any queries kindly call us on **0800 22 11 77** or email clientservice@coronation.co.za

I/We hereby apply for appointment as a financial advisory/adviser to promote and market the Selected Products of Coronation. Expressions used herein are defined in the Terms and Conditions for Appointment as Financial Advisory/Adviser (Annexure A).

o As required by legislation, product specific training has been made available to advisers via FAIS Exchange. If an adviser is already registered on the FAIS Exchange platform, they can use their existing login details to register for the Coronation product specific training material and assessment. If an adviser is new to the FAIS Exchange platform and wish to complete his/her training, then please register them on their website: www.fais-exchange.co.za or contact them on support@fais-exchange.co.za. Please note that we do not need to wait for accreditations before issuing an adviser with a Coronation adviser number.

A: PRODUCT SELECTION

Please indicate which products you are applying for:

- South African Unit Trust Funds and Tax-Free Investments
- Offshore Investment Funds
- Life and Retirement Products

B: ADVISORY INFORMATION

Business status: Sole proprietor Company Close corporation Partnership Trust

Registered name of business: _____

Trading name: _____

Registration number: _____

FSP license number: _____ (Attach a copy of license and annexure detailing the conditions and restrictions)

Income tax number: _____

VAT number: _____ VAT issue date: _____ [d] / _____ [m] / _____ [y]

Office postal address: _____

_____ Postal code: _____

Office physical address: _____

_____ Postal code: _____

Telephone number: (_____) _____ Cellphone number: (_____) _____

Email address: _____

Contact person name: _____



C: DETAILS OF FINANCIAL ADVISERS



Please attach a copy of ID and utility bill per adviser listed. Refer to section K.

Adviser 1

Title: _____ Surname: _____

First name(s): _____

ID or Passport number (if foreign national): _____

Income tax number: _____

Cellphone number: (_____) _____ Work telephone number: (_____) _____

Email address: _____

Adviser 2

Title: _____ Surname: _____

First name(s): _____

ID or Passport number (if foreign national): _____

Income tax number: _____

Cellphone number: (_____) _____ Work telephone number: (_____) _____

Email address: _____

Adviser 3

Title: _____ Surname: _____

First name(s): _____

ID or Passport number (if foreign national): _____

Income tax number: _____

Cellphone number: (_____) _____ Work telephone number: (_____) _____

Email address: _____

Adviser 4

Title: _____ Surname: _____

First name(s): _____

ID or Passport number (if foreign national): _____

Income tax number: _____

Cellphone number: (_____) _____ Work telephone number: (_____) _____

Email address: _____

Adviser 5

Title: _____ Surname: _____

First name(s): _____

ID or Passport number (if foreign national): _____

Income tax number: _____

Cellphone number: (_____) _____ Work telephone number: (_____) _____

Email address: _____



Coronation product specific training material and assessment can be found on the FAIS Exchange platform.



D: COMMUNICATION PREFERENCES

Email correspondence and notifications relating to client transaction processing to be sent to:

Financial adviser or Other: _____

Email correspondence relating to advice fee payments to be sent to:

Financial adviser or Other: _____

E: PAYMENT OF ADVICE FEES

You may choose to have your fees earned on the Local Unit Trust Funds invested into one of our funds. If this is not selected, the fees will be paid to the bank account detailed in section F.

If you wish to re-invest your fees, please provide your investor number _____ or complete an investor application form to have one created for you. Instructions for re-investment of fees payable by Coronation Management Company (RF) (Pty) Ltd ("Coronation") in respect of the Selected Products as referred to in Item A (A) 1 of Annexure A of the attached Terms and Conditions.

FUND NAME	% Per Fund
	%
	%
	%
	%
	%

All funds listed above refer to the A-Class of the respective funds, except for Bond Fund and Smaller Companies Fund which refer to the R-Class, and Resources Fund and Industrial Fund which refer to P-Class.

Payments of fees for all other products will be paid directly into the bank account specified in section F or G as applicable.

F: LOCAL BANK DETAILS

These banking details will be used for the local unit trust funds, tax-free investments, life and retirement products per the selected products listed in items A (A) 1,2 and 3 of Annexure A detailed on the attached Terms and conditions.

Account holder name: _____

Bank: _____ Account number: _____

Branch code: _____ Type of account: Current/Cheque Savings

Signature of authorised signatory*:

* Please forward proof of authorisation

SIGN WITHIN THE BOX

 We will use this bank account for all payments. Payments cannot be made to credit cards and money market accounts. All payments from Coronation will be electronically transferred into this account.



G: OFFSHORE BANK DETAILS

These banking details will be used for the Offshore Investment Funds per the selected products listed in items A (A) 4 of Annexure A detailed on the attached Terms and conditions.

Beneficiary Bank Account Details

Bank name: _____

Bank address: _____

Branch name: _____ Branch/sort code: _____

SWIFT code _____ IBAN: _____

Account holder name: _____

Account number: _____ Account currency: _____

Correspondent Bank Account Details

(A correspondent bank acts as a point of contact for another bank in a country or state where the second bank does not have a branch or agency).

Bank: _____

Bank address: _____

Branch name: _____ SWIFT code: _____

Signature of authorised signatory*:
* Please forward proof of authorisation

SIGN WITHIN THE BOX



We will use this bank account for all payments. Payments cannot be made to credit cards and money market accounts. All payments from Coronation will be electronically transferred into this account.



H: AUTHORISED SIGNATORIES

To be completed by managers, close corporation members, partners and persons authorised to transact on behalf of the entity.
e.g. Persons with power of attorney or mandate acting on behalf of the entity.



Please attach a copy of ID document and utility bill of the authorised signatory.

Full Name	Contact Number	Email Address	Signature

Please indicate whether you require a joint signing authority by making an election below:

- We instruct Coronation to only action instructions to change details and issue new adviser numbers signed by all authorised signatories named above.
- We instruct Coronation to action instructions to change details and issue new adviser numbers signed by any of the authorised signatories named above.
- Refer to the attached Authorised Signatory list.

Coronation will action instructions signed by any of the authorised signatories named above if no election is made.



I: DECLARATION

I/We

- ▶ hereby consent, where this is applicable to me/us as registered VAT vendor(s), to the use by Coronation of self-invoicing, and confirm that I/we will not issue tax invoices, debit notes or credit notes in respect of the fees payable to me/us by Coronation.
- ▶ undertake to advise Coronation in writing of changes in VAT vendor status.
- ▶ warrant the above information to be correct. Coronation shall not be liable for any loss or damage suffered on account of incorrect information provided by me/us or as a result of a change in my/our information or my/our misrepresentation or my/our involvement in any fraudulent act.
- ▶ undertake to advise Coronation in writing should any of the details completed herein change subsequent to signature hereof by me/us.
- ▶ further acknowledge and accept that this Application form, together with the Terms and Conditions (Annexure A), form the basis on which Coronation appoints me/us, and I/we agree to be bound by the said Terms and Conditions.
- ▶ accept that Coronation may authorise my/our identity via a credit bureau.
- ▶ accept that Coronation reserves the right to not appoint me/us as financial adviser for whatever reason.
- ▶ acknowledge and accept that the Agreement will only be concluded when an authorised representative of Coronation has signed this Financial Adviser Form and I/we have received confirmation in writing from Coronation that the Agreement has been concluded.

Signed at: _____ on this _____ day of _____ year _____

1st Authorised Signatory: _____

SIGN WITHIN THE BOX

2nd Authorised Signatory: _____

SIGN WITHIN THE BOX

J: NOTES/ADDITIONAL INSTRUCTIONS

ACCEPTANCE BY CORONATION - FOR OFFICE USE ONLY

Date: _____

Name: _____

Capacity: _____

Signed: _____



K: SUPPORTING DOCUMENTATION

(Copies of the supporting documentation are sufficient as long as all text and photographs are clear and legible).

The following outlines the supporting documentation required in terms of FICA, as well as other documents required by Coronation. This documentation is necessary in order for Coronation to verify details listed in this application form.

Supporting documentation required in respect of sole proprietors, companies, close corporations and other legal entities:

- Proof of VAT number (e.g. any SARS issued document bearing name and VAT number)
- Proof of registered address (e.g. registration documents)
- Proof of business address (e.g. bank statement, utility bill or telephone account less than three months old)
- Proof of trading name (e.g. copy of a letterhead)
- Proof of banking details (e.g. bank statement or cancelled cheque less than three months old)
- Copy of FAIS licence including the Addendum
- On a company letterhead please confirm if there are any individuals/entities that hold 25% or more of the voting rights within the entity. If so, please provide their supporting FICA documents as detailed below (where applicable).

Furthermore the following supporting documentation is required for:

Natural persons:

- ID document (SA residents) / passport (foreign nationals)
- Proof of physical residential address (e.g. bank statement, utility bill or telephone account less than three months old)

PLUS, whichever one of the below sections is applicable:

South African companies:

- Certificate of Incorporation (CM1/COR14.3)
- Most recent CM29/COR39
- Certificate of Name Change (CM9) (where applicable)
- Proof of Signatories (example a resolution signed by all directors providing the authorised signatory to act on behalf of the company with regards to the FSP contract) where applicable
- Proof of listing (where applicable)

Foreign companies:

- Official document from foreign regulator reflecting name, registration number and address, and any name changes since incorporation
- Proof that certain persons are entitled to act as directors of the company
- Proof of listing (where applicable)

Close corporations:

- Founding Statement (CK1)
- Amended Founding Statement (CK2) (where applicable) or Certificate of Incorporation

Partnerships:

- Partnership Agreement

Trusts:

- Trust Deed and Letter of Authority issued by the Master of the High Court



L: NEXT STEPS AND OTHER INFORMATION

- ▶ Please send the completed form and documentation to transact@coronation.co.za or 086 677 0007 (fax). A member of our client service team will contact you if more information is required.
- ▶ Adviser numbers will be available five business days after we have received a fully and correctly completed application form as well as all the necessary supporting documentation. Our administration system works on an advisory number and adviser number hierarchy structure. For each product stream that you select, an advisory number in the name of the advisory will be issued. Thereafter, upon request, an adviser number in the individual adviser's name will be issued. As confirmation thereof you will receive a welcome letter via email.
- ▶ Our digital investment platform allows Financial Advisers and Adviser Assistants to register for their own profile and then link adviser codes with either view only or full access. Upon approval you may then view and download reports; view your clients' information and submit transactions on a clients' behalf.
- ▶ Clearance periods apply to all new investments. The length of the period is determined by the payment method that the client selects. Initial advice fees are paid after the clearance period. Investments funded by an eft payment are subject to a 7-day clearance period, and investments funded by Coronation debiting the clients bank account directly are subject to a 40-day clearance period.
- ▶ Advice fees are paid every Wednesday, provided the Wednesday is a business day. Advice fees accumulate until the minimum payment threshold is reached:

Product Stream:	Advice fee minimum payment threshold:
South African Unit Trust & Tax-Free Investments	R500 per adviser
Life & Retirement Products	R200 per advisory per product
Offshore Investment Funds	USD100, GBP100 and EUR100 per adviser

Initial advice fees are paid the Wednesday after the investor's clearance period has ended. Monthly ongoing advice fees are paid either the first or second Wednesday after month-end. An advice fee statement detailing the transactions will be sent whenever a payment is made. The same process and timelines apply to advisers who have chosen to have their advice fees reinvested into one of our domestic funds.

- ▶ Product information, investment quotes, comprehensive fact sheets, investor application forms and fee schedules are available on Coronation's website.
- ▶ Should you have any queries, kindly email clientservice@coronation.co.za or call us on 0800 22 11 77.