



South African Reserve Bank

**Financial Surveillance Department**

**Treasury outsourcing company/Foreign exchange broker application form**

Note: All fields are compulsory

|                                                                                            |
|--------------------------------------------------------------------------------------------|
| <b>Section A: Treasury outsourcing company/Foreign exchange broker details</b>             |
| <b>Name of entity:</b>                                                                     |
| <b>Registration number:</b>                                                                |
| <b>Financial year end:</b>                                                                 |
| <b>Physical address:</b>                                                                   |
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|                                                                                            |
|                                                                                            |
| <b>Postal address:</b>                                                                     |
|                                                                                            |
|                                                                                            |
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| <b>Section B: Treasury outsourcing company/Foreign exchange broker contact information</b> |
| <b>Full name(s) and surname of contact person:</b>                                         |
| <b>Contact person telephone number:</b>                                                    |
| <b>Contact person email address:</b>                                                       |

**Section C: Details of shareholders, authorised officials, key individuals of the Treasury outsourcing company/Foreign exchange broker**

**Provide the name(s), domicile and percentage shareholding/interest of all the shareholders/members of the above entity:**

| Full name(s) and surname of shareholder(s)/member(s) | Domicile | Percentage shareholding/interest |
|------------------------------------------------------|----------|----------------------------------|
|                                                      |          |                                  |
|                                                      |          |                                  |
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|                                                      |          |                                  |

**Authorised officials (officials approved by the Board of Directors to sign correspondence):**

| Official 1      | Official 2      |
|-----------------|-----------------|
| Name:           | Name:           |
| Designation:    | Designation:    |
| Contact number: | Contact number: |
| Email address:  | Email address:  |

**Key individuals:**

| Full name(s) and surname of key individual(s) | Identity number | Designation |
|-----------------------------------------------|-----------------|-------------|
|                                               |                 |             |
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**Section D: FSP details of the Treasury outsourcing company/Foreign exchange broker**

**FSP number:**

**FSP products approved:**



**Section G: Declaration by the Treasury outsourcing company/Foreign exchange broker**

We, as authorised officials of ....., hereby declare that:

1. To the best of our knowledge, the information reflected on this form is correct.
2. We are conversant with the provisions of section A.4 of the Currency and Exchanges Manual for Authorised Dealers.
3. Any addition and/or amendments to the information provided in this document will be communicated to the Financial Surveillance Department through an Authorised Dealer within a period of one month of such addition and/or amendments.
4. The requirements of all other applicable legislation, including but not limited to the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001), the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002) as well as section A.4 of the Currency and Exchanges Manual for Authorised Dealers will be complied with.

|                |              |
|----------------|--------------|
| <b>Signed:</b> | <b>Date:</b> |
| <b>Signed:</b> | <b>Date:</b> |

**Section H: Declaration by the principal Authorised Dealer**

We, as the principal Authorised Dealer, hereby declare that suitable due diligence was conducted to ensure that this application adheres to all the applicable legislation, including but not limited to the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001) as well as section A.4 of the Currency and Exchanges Manual for Authorised Dealers.

|                |              |
|----------------|--------------|
| <b>Signed:</b> | <b>Date:</b> |
|----------------|--------------|

**Section I: Documents to be submitted to the Financial Surveillance Department**

1. Copy of the mandate between the Treasury outsourcing company/Foreign exchange broker and the Authorised Dealer.
2. Example of a mandate between the Treasury outsourcing company/Foreign exchange broker and a client.
3. Provide full details of the Risk Management and Compliance Programme (RMCP) of the Treasury outsourcing company/Foreign exchange broker as required in terms of the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001), as amended.
4. Copy of the contract between the Treasury outsourcing company/Foreign exchange broker and the juristic representative, if applicable.