



Company Registration no. 1997/006545/06
FSP no. 17704

YARD INSURANCE COMPANY LIMITED

BROKER APPLICATION

One on Ninth,
Unit B, Ground Floor, Cnr
9th Street & Glenhove Road,
Houghton Estate, Johannesburg 2198

Telephone: 011 749 3130
Email: info@yardinsurance.co.za
Website: www.yardrisk.co.za

Please note your agency will not be approved if the below sections are not completed:

- General information
- Address details
- Bank details
- Compliance officer details
- Financial Advisory and Intermediary Services Act
- Professional Indemnity insurance details

General Information (Mandatory field)	
Full name of Business (i.e (Pty) Ltd, CC, etc)	
Legal Nature of Business	
Company Registration Number	
VAT Registration Number	
For a Company	
Name/s of Director/s	Identity Number/s
Name/s of Shareholder/s	% Shareholding

Address Details (Mandatory field)	
Postal Address	
Suburb	
City/Town	
Postal code	
Physical address	
Suburb	
City/Town	
Postal code	
Website address	
Company Main Contact Details (Mandatory field)	
Contact person name	
Title	
Telephone Number	
E-Mail address	
Cell Phone Number	
Bank Details (Mandatory field)	
Branch /Branch Code	
Bank Name	
Account Type	
Account Number	

(Please attach a copy of Proof of Account Details)

Financial Advisory and Intermediary Services Act (Mandatory field)		
Are you licensed in terms of the Financial Advisory & Intermediary Services Act?	YES	NO
Please provide the FSP Number		
**Please provide a copy of your FSP license, including annexures		
Name of Compliance Officer		
Telephone Number of Compliance Officer		
Officer Cell Number of Compliance Office		
Email of Compliance Officer		
**Please provide a copy of your latest compliance and complaints reports		
Broker Membership Details		
Are you a member of any broker organisation?	YES	NO
Name of Organisation		
Registration number		
Professional Indemnity Insurance Details (Mandatory field)		
Sum Insured		
Policy Number		
Expiry Date		
Insurer		
**Please provide a copy of the current PI schedule		

Treating Customers Fairly (TCF)		
Are you, as a business, aware of your responsibilities in terms of TCF?	YES	NO
Are your clients made aware of their rights in regard to TCF?	YES	NO
Do you analyse and assess complaints received in terms of TCF?	YES	NO
Do you have a complaints policy and reporting framework?	YES	NO
Who, in your business, is responsible for TCF?		
Protection of Personal Information (POPI)		
Are you, as a business, POPI compliant?	YES	NO
Do you have procedures in place to ensure the safekeeping of information?	YES	NO
Do you advise clients if their information is being used for any other purpose?	YES	NO
Additional fees /charges		
Do you charge the policyholder a fee in addition to the commission earned?	YES	NO
If yes, please explain the fee in detail on separate sheet, with consent from client (mandatory)		
Will this fee be collected together with the premium for the policy, or will the fee be collected separately by yourselves?	With premium	Collected separately
Do you ensure, at inception of the policy, that the fee is properly explained to the policyholder?	YES	NO
Do you obtain consent from the policyholder in writing to charge this fee?	YES	NO
How will this consent be obtained (telephonic/in writing)?		
If telephonic, do you have the ability to record these calls?	YES	NO
**If in writing, please attach an example of the written disclosure and consent form given to the policyholder		
Does this fee relate to an actual service being provided to the policyholder?	YES	NO
Does the service being offered for this fee fall within the definition of "services as intermediary"?	YES	NO
Does this charging or payment of this fee by the policyholder result in yourselves as intermediary being remunerated for a service already paid for by the Insurer?	YES	NO
Have any of the persons listed above or has any organisation in which they have held a managerial position previously been placed in:		
Provisional or Final Liquidation	YES	NO
Judicial Management	YES	NO
Receivership	YES	NO
Sequestered	YES	NO
Entered into arrangement with Creditors	YES	NO
If yes to any of the above, please provide details:		

Have any of the persons listed above been convicted of any criminal offence during the past 5 years? If yes, please provide details
Is there any civil or criminal litigation pending against any of the people mentioned or against the applicant? If yes, please provide details
Have any of the people mentioned ever had an agency application declined, terminated or granted on special terms? If yes, please provide details

This application relates to business to be introduced by the broker as an independent broker on behalf of its clients

All information provided in this application will be kept confidential and comply at all times with the Protection of Personal Information Act, No 4 of 2013 ("POPI")

Signature: _____ who by his or her signature hereto warrants that he/she is duly authorised to sign this application

Name: _____

Date: _____