

## LICENCE CATEGORIES

<b>FSP Number</b>	
<b>Applicant Name</b>	

**Instructions and notes:**

- (a) A person may not render financial services in respect of a financial product as a particular category of FSP unless authorised for that category and financial product.
- (b) Subject to paragraph (a), any change to the information provided in this form must be reported to the Authority, in writing, within 15 days after the change has taken place.

### 1. Category of financial services

Indicate the category(ies) of financial service(s) in respect of which authorisation is sought.

<b>Category I</b> [Applicant must complete section 5A]	<input type="checkbox"/>
<b>Category II</b> [Applicant must complete section 5B]	<input type="checkbox"/>
<b>Category IIA</b> [Applicant must complete section 5C]	<input type="checkbox"/>
<b>Category III</b> [Applicant must complete section 5D]	<input type="checkbox"/>
<b>Category IV</b>	<input type="checkbox"/>

### 2. Direct marketing

Indicate whether the applicant intends to render financial services as a direct marketer.

Yes  No

### 3. Automated advice

Indicate whether the applicant intends to render automated advice.

Yes  No

### 4. Accreditation in terms of the Medical Schemes Act, 1998

Indicate whether the applicant intends to render financial services in respect of the financial product: Health Service Benefits.

Yes  No

If yes, provide the applicant's accreditation number issued to the applicant under the Medical Schemes Act:

Number:

### 5. Financial products per Category

The applicant, other than an applicant that is seeking authorisation for a Category IV, must indicate in the sections hereunder the financial products in respect of which the applicant intends to render financial services per each Category in respect of which authorisation is sought.

**5A Category I**

Indicate, by ticking the applicable box, the type of financial service (advice / intermediary service) and the subcategory of that service the applicant intends to render in respect of a specific financial product.

No.	Financial Product	Advice		Intermediary service	
		Automated	Non-automated	Scripted execution of sales	All other intermediary services
1.1	Long-term Insurance subcategory A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Short-term Insurance Personal Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Long-term Insurance subcategory B1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Long-term Insurance subcategory C	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Retail Pension Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.6	Short-term Insurance Commercial Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7	Pension Fund Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8	Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.9	Money market instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.10	Debentures and securitised debt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.11	Warrants, certificates or other instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.12	Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.13	Derivative instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.14	Participatory interests in a collective investment scheme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.15	Forex Investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.16	Health Service Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.17	Long-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.18	Short-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.19	Friendly Society Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.20	Long-term Insurance subcategory B2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.21	Long-term Insurance subcategory B2-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.22	Long-term Insurance subcategory B1-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.23	Short-term Insurance Personal Lines A1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.24	Structured Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.25	Securities and instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.26	Participatory interest in a hedge fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.27	Crypto Assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**5B Category II**

Indicate, by ticking the applicable box, the financial product/s in respect of which the applicant intends to render Category II financial services.

No.	Financial Product	
2.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
2.2	Long-term Insurance subcategory C	<input type="checkbox"/>
2.3	Retail Pension Benefits	<input type="checkbox"/>
2.4	Pension Fund Benefits	<input type="checkbox"/>
2.5	Shares	<input type="checkbox"/>
2.6	Money market instruments	<input type="checkbox"/>
2.7	Debentures and securitised debt	<input type="checkbox"/>
2.8	Warrants, certificates and other instruments	<input type="checkbox"/>
2.9	Bonds	<input type="checkbox"/>
2.10	Derivative instruments	<input type="checkbox"/>
2.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
2.12	Forex Investment	<input type="checkbox"/>
2.13	Long-term Deposits	<input type="checkbox"/>
2.14	Short-term Deposits	<input type="checkbox"/>
2.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
2.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
2.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
2.18	Structured Deposits	<input type="checkbox"/>
2.19	Securities and instruments	<input type="checkbox"/>
2.20	Participatory interest in a hedge fund	<input type="checkbox"/>
2.21	Crypto Assets	<input type="checkbox"/>

**5C Category IIA**

Indicate, by ticking the applicable box, the financial product/s in respect of which the applicant intends to render Category IIA financial services.

No.	Financial Product	
2A.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
2A.2	Long-term Insurance subcategory C	<input type="checkbox"/>
2A.3	Retail Pension Benefits	<input type="checkbox"/>
2A.4	Pension Fund Benefits	<input type="checkbox"/>
2A.5	Shares	<input type="checkbox"/>
2A.6	Money market instruments	<input type="checkbox"/>
2A.7	Debentures and securitised debt	<input type="checkbox"/>
2A.8	Warrants, certificates and other instruments	<input type="checkbox"/>
2A.9	Bonds	<input type="checkbox"/>
2A.10	Derivative instruments	<input type="checkbox"/>
2A.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
2A.12	Forex Investment	<input type="checkbox"/>
2A.13	Long-term Deposits	<input type="checkbox"/>
2A.14	Short-term Deposits	<input type="checkbox"/>
2A.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
2A.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
2A.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
2A.18	Structured Deposits	<input type="checkbox"/>
2A.19	Securities and instruments	<input type="checkbox"/>
2A.20	Participatory interest in a hedge fund	<input type="checkbox"/>
2A.21	Crypto Assets	<input type="checkbox"/>

**5D Category III**

Indicate, by ticking the applicable box, the financial product/s in respect of which the applicant intends to render Category III financial services.

No.	Financial Product	
3.1	Long-term Insurance subcategory B1	<input type="checkbox"/>
3.2	Long-term Insurance subcategory C	<input type="checkbox"/>
3.3	Retail Pension Benefits	<input type="checkbox"/>
3.4	Pension Fund Benefits	<input type="checkbox"/>
3.5	Shares	<input type="checkbox"/>
3.6	Money market instruments	<input type="checkbox"/>
3.7	Debentures and securitised debt	<input type="checkbox"/>
3.8	Warrants, certificates and other instruments	<input type="checkbox"/>
3.9	Bonds	<input type="checkbox"/>
3.10	Derivative instruments	<input type="checkbox"/>
3.11	Participatory Interests in one or more collective investment schemes	<input type="checkbox"/>
3.12	Forex Investment	<input type="checkbox"/>
3.13	Long-term Deposits	<input type="checkbox"/>
3.14	Short-term Deposits	<input type="checkbox"/>
3.15	Long-term Insurance subcategory B2	<input type="checkbox"/>
3.16	Long-term Insurance subcategory B2-A	<input type="checkbox"/>
3.17	Long-term Insurance subcategory B1-A	<input type="checkbox"/>
3.18	Structured Deposits	<input type="checkbox"/>
3.19	Securities and instruments	<input type="checkbox"/>
3.20	Participatory interest in a hedge fund	<input type="checkbox"/>
3.21	Crypto Assets	<input type="checkbox"/>