

Please note: all documentation submitted needs to be original or originally certified and no certified copies of copies are accepted.

Only Shareholders with 25% and above voting rights must be verified. Kindly name all shareholders with less than 25% voting rights however there is no need to collect documents for them.

ANNEXURE A IS TO BE COMPLETED WITH THIS CHECKLIST

## COMPANIES

LOG NO: \_\_\_\_\_

CLIENT FULL NAME: \_\_\_\_\_

Account Manager		Compliance Officer / Assistant		
Name:		Name:		
Signature:		Signature:		
SBU/Dept:		SBU/Dept:		
Date:		Date:		
New Client	Existing Client	Listing on Dow Jones/Worldcheck	YES	NO
Is the client a PEP?			YES	NO
Is the client associated to a PEP?			YES	NO
Is the client related to a PEP?			YES	NO
I do confirm that I have verified the above information with the client			YES	NO

**NB : ALL GREEN HIGHLIGHTED SECTIONS MUST BE COMPLETED BY CLIENT**

**NB : ALL YELLOW HIGHLIGHTED SECTIONS MUST BE COMPLETED BY CLIENT**

Documents necessary to verify the Identity of a SA unlisted company	<input type="checkbox"/> Copy of CM1/ CoR15.1/CoR 15.1/CoR14.1/CoR 14.3 (certificate of incorporation/registration certificate) <input type="checkbox"/> Copy of CM9/CoR 15.2 (certificate of name change) (if applicable) <input type="checkbox"/> Copy of CM22/CoR 21/CoR39 (certificate of registered address) <b>and/OR</b> <input type="checkbox"/> Copy of CM29/ CoR39 (list of directors) (if not listed on the CM22); <b>OR</b> <input type="checkbox"/> CIPC (certificate of confirmation) printouts of the CM documents
Identity of the company representative	<input type="checkbox"/> Official documentation issued by the foreign country
Physical address of unlisted company	<input type="checkbox"/> Copy of utility bill/rates and taxes or any other account reflecting the name and address of the CC (no less than 3 months old) <b>OR</b> <input type="checkbox"/> Copy of lease or rental agreement reflecting start and end date of lease <b>OR</b> <input type="checkbox"/> Affidavit confirming proof of address (no less than 3 months old <b>OR</b> <input type="checkbox"/> Copy of Telkom account or any other account reflecting name and residential address (no less than 3 months old) <b>OR</b> <input type="checkbox"/> Copy of signed letterhead
SARS Certificates	<input type="checkbox"/> Tax Clearance Certificate that is still valid (not expired) <input type="checkbox"/> Tax Clearance Pin Number Certificate that is still valid (not expired) <input type="checkbox"/> VAT Registration Certificate
Proof of Authority to act on behalf of the company	<input type="checkbox"/> Attach a resolution appointing the authorised person <b>OR</b> <input type="checkbox"/> Affidavit confirming appointment of the authorised person
Identity of the company representative	<input type="checkbox"/> Complete annexure A and include supporting documents
Proof of residence of the company representative	<input type="checkbox"/> Copy of utility bill/rates and taxes or any other account reflecting name and residential address (no less than 3 months old) <b>OR</b> <input type="checkbox"/> Copy of lease or rental agreement reflecting start and end date of lease and reflecting name and residential address <b>OR</b> <input type="checkbox"/> Affidavit confirming proof of address (no less than 3 months old) <b>OR</b>
Identity of all shareholders holding 25% or more of the voting rights	<input type="checkbox"/> Complete annexure A for each shareholder holding more than 25% and above <b>and include supporting documentation (certified ID (original not older than three months) , proof of physical address (original document not older than three months or affidavit) Please note :- Passport details (certified original not older than three months) required for non residents</b>
Identity of all shareholders holding less than 25% voting rights	<input type="checkbox"/> Complete annexure A for each shareholder with less than 25% shareholding. <b>No supporting documentation required.</b>

**ANNEXURE A: FICA CLIENT INFORMATION FORM**

Please complete the details of each authorised representative and member of the relevant entity below.-

**Company Representative:**

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Names(s) \_\_\_\_\_

Physical address \_\_\_\_\_

Code \_\_\_\_\_

**Please tick relevant box for method of identification:**

Identity document  or passport (non residents only)

ID no./passport no. \_\_\_\_\_

Date of birth DD MM YYYY

**Shareholders Details**

If natural persons:

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Names(s) \_\_\_\_\_

Physical address \_\_\_\_\_

Code \_\_\_\_\_

**Please tick relevant box for method of identification:**

Identity document  or passport (non residents only)

ID no./passport no. \_\_\_\_\_

Date of birth DD MM YYYY

**Shareholders Details**

If natural persons:

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Names(s) \_\_\_\_\_

Physical address \_\_\_\_\_

Code \_\_\_\_\_

**Please tick relevant box for method of identification:**

Identity document  or passport (non residents only)

ID no./passport no. \_\_\_\_\_

Date of birth DD MM YYYY

<b>If member is a Trust/Company/CC:</b>																					
Registered name	_____																				
Physical/business address	_____																				
Trust/Company/CC No.	Code _____																				
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Entity registration documents attached	<input type="checkbox"/>																				

**Supporting documentation required**

<p>To Verify details of:</p> <p>Authorised representatives</p> <p>Members</p>	<p>To verify identity:</p> <p><b>If South African:</b></p> <p><input type="checkbox"/> copy of SA barcoded ID or</p> <p><input type="checkbox"/> copy of SA passport</p> <p><input type="checkbox"/> copy of utility bill</p> <p><b>If foreign:</b></p> <p><input type="checkbox"/> copy of passport</p> <p><input type="checkbox"/> copy of utility bill</p>
<p>Entities</p>	<p><input type="checkbox"/> copy of relevant registration documents</p> <p><b>NB: INCLUDE GROUP STRUCTURE</b></p>

**Compliance Comments:**