

FICA REQUIREMENTS



INVESTMENTS

PROFESSIONAL PROVIDENT SOCIETY INVESTMENTS PROPRIETARY LIMITED ("PPS INVESTMENTS")
CLIENT SERVICE CENTRE CONTACT DETAILS

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The Financial Intelligence Centre Act ("FICA") requires financial institutions, such as PPS Investments, to establish and verify clients' identities to combat money laundering and the financing of terrorism.

The documentation as set out below is required by us in order to comply with the obligations set out in FICA. Please note the requirements may differ depending on the type of entity investing.

Please note, this is a prefillable form. Please print, sign where required and send to the details above for processing.

NATURAL PERSON VERIFICATION DOCUMENTS

A IDENTITY VERIFICATION DOCUMENTS (South African citizens and residents)

The following documents are acceptable to verify a client's identity:

- Green bar-coded identity document;
- Both sides of the Smart identity card;
- Valid passport;
- Valid drivers licence;
- Valid temporary identity document.

B IDENTITY VERIFICATION DOCUMENTS (Foreign nationals)

The following documents are acceptable to verify a client's identity:

- Valid passport;
- Valid asylum seeker or refugee permit;
- Valid work permit.

C IDENTITY VERIFICATION DOCUMENTS (Minors)

The following documents are required to verify a minor's identity:

- Copy of birth certificate or valid ID document or adoption certificate (if applicable).
- Letter confirming legal guardianship (if applicable).
- ID document of the guardian or parent.

LEGAL ENTITY VERIFICATION DOCUMENTS

The FICA Amendment Act places a duty on accountable institutions to establish a legal person's ownership and control structure. An accountable institution must in addition to this establish who the beneficial owner of the legal person is. We reserve the right to request additional information to the information mentioned below.

A TRUST

- Letter of Authority signed by the Master of the High Court.
- Trust deed or other founding document.
- Resolution specifying who is authorised to act on behalf of the Trust.
- Identity document(s) of the person(s) authorised to act on behalf of the Trust e.g. ID book*.
- Written confirmation of residential address and contact particulars of the person(s) authorised to act on behalf of the Trust.
- Identity documents for the founder of the trust, all of the trustees and beneficiaries e.g. ID book*.
- Written confirmation of the residential address and contact particulars for the founder of the trust, all of the trustees and beneficiaries.

B CLOSE CORPORATION (CC)

Founding Statement or Certificate of Incorporation (CK1).

Amended Founding Statement (CK2) (if the member of the CC has changed).

Resolution specifying who is authorised to act on behalf of the Close Corporation.

Proof of business address of the Close Corporation e.g. utility bill (not older than 3 months) reflecting the name and business address.

Identity document(s) of the member(s) and authorised signatories of the Close Corporation e.g. ID book.

Written confirmation of the residential address and contact particulars of the member(s) of the Close Corporation reflecting the name and residential address.

Identity document(s) of the person(s) authorised to act on behalf of the Close Corporation e.g. ID book.

C COMPANY (private and unlisted public) - launched pre 11 May 2011

Certificate of Incorporation (CM1).

Certificate of change of name of company (CM9) (if applicable).

Notice of Registered Office and Postal Address (CM22).

Contents of Register of Directors, Auditors and Officers (CM29).

Proof of business address of the company e.g. utility bill (not older than 3 months) reflecting the name and business address.

Resolution specifying who is authorised to act on behalf of the company.

Confirmation of shareholding.

Identity document(s) of the authorised signatories, person(s) managing the company and individuals holding 25% or more of the voting rights in the company.

Written confirmation of the residential address and contact particulars of the authorised signatories, person(s) managing the company and individuals holding 25% or more of the voting rights in the company.

The same requirements for legal persons holding 25% or more shareholding.

Written confirmation of business addresses and contact particulars of the legal person(s) holding 25% or more of the voting rights in the company.

D COMPANY (private and unlisted public) - launched post 11 May 2011

The new Companies Act came into effect on 1 May 2011. For all companies incorporated prior to 1 May 2011, i.e. before the new Companies Act came into effect, the old forms will still apply, i.e. the old CM forms.

Those companies incorporated in terms of the new Companies Act, the new forms will apply. These are listed below as follows:

Notice of Incorporation (CoR 14.1).

Certificate of Registration (CoR 14.3).

Certificate of name change (CoR 14.3) where the company has changed its name.

Notice of registered office and postal address (CoR 21.1).

Proof of business address of the company e.g. utility bill (not older than 3 months) reflecting the name of the company & the business address.

Resolution specifying who is authorised to act on behalf of the company.

Confirmation of shareholding.

Identity documents of the persons managing the company, authorised signatories and individuals holding 25% or more of the voting rights.

Written confirmation of the residential address and contact particulars of the person(s) managing the company, authorised signatories and individuals holding 25% or more of the voting rights .

The same requirements for legal persons holding 25% or more shareholding

Written confirmation of business addresses and contact particulars of the legal person(s) holding 25% or more of the voting rights in the company 25% or more of the voting rights in the company.

E PARTNERSHIPS

Partnership agreement.

Identity documents of the natural persons who are partners (including en commandite and silent partners) e.g. ID book.

Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal persons who are partners (including en commandite and silent partners).

Proof of registered and business addresses of the legal persons who are partners (including en commandite and silent partners) e.g. CM22, letterhead, utility bill (not older than 3 months) reflecting the name and business address.

Resolution specifying who is authorised to act on behalf of the Partnership.

Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal person(s) who exercise executive control over the Partnership.

Identity document(s) of the natural person(s) who exercise(s) executive control over the Partnership e.g. ID book.

Identity document(s) of the person(s) authorised to act on behalf of the Partnership e.g. ID book

F OTHER LEGAL PERSONS

Other legal persons as defined by law or created by South African statute (Pension and Provident Funds, Government agencies, Religious organisations, Educational organisations, Welfare organisations).

Founding document.

Proof of business address e.g. utility bill (not older than 3 months) reflecting the name and business address.

Resolution specifying who is authorised to act on behalf of the entity.

Identity documents of the person(s) authorised to act on behalf of the entity e.g. ID book.

Written confirmation of the residential address and contact particulars of the person(s) authorised to act on behalf of the entity.

G ACCEPTABLE DOCUMENTS TO VERIFY ADDRESS

The following documents are acceptable to verify a client's residential address. It must reflect the clients name, date and residential address and not be older than 3 months:

A utility bill reflecting the clients name, date and residential address;

A bank statement reflecting the clients name, date and residential address;

A recent lease or rental agreement reflecting the clients name, date and residential address;

Municipal rates and taxes invoice reflecting the clients name, date and residential address;

Telephone or cellular account reflecting the clients name, date and residential address;

Valid television licence reflecting the clients name, date and residential address;

Recent motor vehicle license documentation reflecting the clients name, date and residential address; or

A statement of account issued by a retail store that reflects the clients name, date and residential address;

Home loan statement from a financial institution.

Correspondence from body corporate, retirement village or governing body.

Long /short-term insurance policy documents other than a PPS policy.

Valid lease agreement.

Statement issued by a linked investment services provider not part of the PPS Group.

PPS Investments (Pty) Ltd, PPS Multi-Managers (Pty) Ltd, PPS Investment Administrators (Pty) Ltd and PPS Insurance Company Ltd are licensed financial services providers.
PPS Management Company (RF) (Pty) Ltd is a licensed collective investment scheme manager.
PPS Nominees (Pty) Ltd is an independent nominee company approved by the Financial Sector Conduct Authority.

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