



FICA Requirements for Legal Entities

Before we can enter into a transaction with you, the Financial Intelligence Centre (FICA) requires that we verify both the identity of the Legal Entity in whose name the Investment account will be opened, as well as the identities of all beneficial owners, controlling persons and authorised signatories associated with the Legal Entity.

We may require additional information if:

- You are not a South African citizen or South African registered entity
- We are unable to verify your information
- You are a tax resident outside of South Africa

1. South African Companies

- Certificate of Incorporation
- Certificate of name change
- Notification of Registered and Postal address
- Identity document for each director
- Resolution of Authorised Signatories on letterhead
- Identity document for each authorised signatory
- Copy of latest Shareholder register that reflect ultimate beneficial ownership/ control structure
- Annexure A of the New Business Application Form for all directors and authorised signatories

2. Foreign Companies

- Registered name and/or trading name of business. An official document which confirms the incorporation and registration of the company in the relevant country of incorporation (In English)
- List of Directors or members
- Identity document for each director
- Resolution of Authorised Signatories on letterhead
- Identity document for each authorised signatory
- Copy of latest Shareholder register that reflect ultimate beneficial ownership/ control structure
- Annexure A of the New Business Application Form for all directors and authorised signatories

3. Partnership

- Partnership Agreement
- Registered name and/or trading name of business. A document which confirms the registered address of the partnership (In English)
- Identity document for each Partner
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Copy of latest Shareholder register that reflect ultimate beneficial ownership/ control structure
- Annexure A of the New Business Application Form for all directors and authorised signatories

4. Close Corporations

- Certificate of Incorporation
- Stamped Amended Certificate of Incorporation if name changed
- A document which confirms the registered address of the partnership (In English)
- Most recent Stamped Amended Certificate of Incorporation applicable if changes have been made in membership.
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Copy of latest Shareholder register that reflect ultimate beneficial ownership/ control structure
- Annexure A of the New Business Application Form for all directors and authorised signatories

5. Trusts

- Authorisation given by the Master of the High Court (for South African trusts)
- Trust Deed or Founding Document
- Official document which reflects these particulars, issued by an authority in that country (for foreign trusts)
- NOTE: if Founder is deceased, please provide Death Certificate
- Identity document for each Trustee
- Identity document for each Beneficiaries
- If the minor does not have an ID document, a copy of the birth certificate
- NOTE: if beneficiaries are not named, provide detailed particulars of how beneficiaries will be determined as an alternative
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Annexure A of the New Business Application Form for all trustees and authorised signatories

6. Pension Fund, Retirement Fund and Provident Fund

- Pension fund registration document
- A copy of The Constitution or other founding document in terms of which the entity is created.
- Notification of Registered and Postal address
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Annexure A of the New Business Application Form for all trustees and authorised signatories

7. Linked Investment Scheme Providers

- A copy of FAIS FSP license
- LISP Company Registration documents
- Shareholder Register
- Notification of Registered and Postal address
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Identity document for each director
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Copy of latest Shareholder register that reflect ultimate beneficial ownership/ control structure
- Annexure A of the New Business Application Form for all directors and authorised signatories

8. Other Legal Entities

- Section 21 Companies (Non-profit organisations)
- Certificate of Incorporation
- Certificate of Registered address
- Certificate of name change if applicable
- Resolution of Authorised Signatories on letterhead
- Identity document for each signatory
- Identity document for each director
- Annexure A of the New Business Application Form for all authorised signatories

Social Clubs and Churches

- Founding document or Constitution
- Any documentation that applies for the establishment of the entity if falls out of the above scope
- Members Resolution of Authorised Signatories with specimen signatures
- Proof of Identity of all persons authorised to act on behalf of the Legal Entity.
- Annexure A of the New Business Application Form for all authorised signatories

Stokvels

- Founding Statement
- Members Resolution of Authorised Signatories with specimen signatures
- Proof of Identity of all persons authorised to act on behalf of the Stokvel, including the chairperson
- Annexure A of the New Business Application Form for all authorised signatories