

INVESTMENTS

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## FICA Requirements - Legal Entities

### Unit Trust Scheme/Hedge Funds

**Provide the following FICA documents for the investor as per the entity type detailed below:**

#### RSA unlisted companies

- Registration certificate (CM1 or CoR 15.1/CoR 14.1)
- Change of name, if applicable (CM9 or CoR 9.1/CoR 9.2)
- Notice of registered office and postal address (CM22 or CoR 21)
- Current list of directors (CM29 or CoR 39)
- Proof of physical business address\*\*\*
- FICA documents\* and contact numbers of the principal executive officer, each director, each shareholder (natural person or entity\*\*) who holds 25% or more of the voting rights in the company and any person(s) authorised to act on behalf of the company. Please complete Annexure B in respect of each of these persons
- Document authorising person(s) to act: directors' resolutions and/or delegation of authority
- Specimen signatures for each person authorised to act.

#### Close corporation (CC)

- Founding statement and certificate of incorporation (CK1)
- Amended founding statement (CK2), if applicable
- Proof of physical business address\*\*\*
- FICA documents\* and contact numbers of each member in the CC (natural person or entity\*\*), and of any other person authorised to act on behalf of the CC. Please complete Annexure B in respect of each of these persons
- Document authorising person(s) to act: member resolution
- Specimen signatures for each person authorised to act

#### Foreign unlisted companies

- Official document of incorporation (CoR 17.1)
- Registration certificate (CoR 17.3)
- If trading in RSA, documents for RSA unlisted companies
- Proof of physical business address\*\*\*
- FICA documents\* and contact numbers of each related party (natural person or entity\*\*) and person(s) authorised to act on behalf of the company. Please complete Annexure B in respect of each of these persons
- Document authorising person(s) to act: directors' resolution

#### Partnership

- Partnership agreement
- FICA documents\* and contact numbers of each partner (natural person or entity\*\*), the person(s) who exercises control over the partnership, and each person authorised to act on behalf of the partnership, if not a partner. Please complete Annexure C in respect of each of these persons.
- Document authorising person(s) to act

## Trusts

- Trust deed
- Letter of authority from Master of High Court
- Proof of registered address of Master of High Court (stamp on letter of authority)
- FICA documents\* and contact numbers of the founder, each trustee, each beneficiary and any other person authorised to act on behalf of the trust. Please complete Annexure B in respect of each of these persons
- Document authorising person(s) to act: trustee resolution

## Other legal person

- Constitutional or founding document
- Proof of physical business address\*\*\*
- Document authorising person(s) to act

### \* FICA documents required in respect of a South African natural person(s)

- Identity document/smart ID card (South African citizens)
- If you are a South African citizen and an identity document/smart ID card is not available, attach a certified copy of a valid passport (with no less than six (6) months to expiry) and a valid reason (in writing) why an identity document could not be provided.
- Valid passport (with no less than six (6) months to expiry) (foreign nationals)
- Proof of residential address\*\*\*

\*\* Where a shareholder, member, partner, founder, trustee, beneficiary or other related party of the entity is an entity, the FICA requirements for that entity type will apply in full to that entity.