

Regulatory Supporting Information Non-Individual Legal Entities

Before we can enter into a transaction with any investor, the Client Due Diligence act (**CDD**) requires that Sanlam Collective Investments identify both the identity of the Legal Entity in whose name the Unit Trust Investment will be opened, as well as the identities of all beneficial owners, controlling persons and authorised signatories associated with the Legal Entity. We also require certain information from the legal entity and its beneficial owners, controlling persons, authorised signatories and third party administrators to establish residency, citizenship, countries of incorporation and/or operation and tax in order to perform regulatory reporting.

Please note:

- We may require additional information or documentation other than stated below, and will contact you if required
- A power of attorney will be required if a legal entity is appointed to act on behalf of an entity.
- In order to comply with the Client Due Diligence (**CDD**) requirements to ascertain the source of the money, your application might go through an Enhanced Due Diligence process where we will request the Source of Funds (SOF) or the proof thereof.

1. Close Corporation

- Certificate of Incorporation (CK1) or Stamped Amended Certificate of Incorporation (CK2), if name changes have been made
- A list of members (Name, Surname and copy of identity document and specimen signatures) on a company letterhead who will be acting on behalf of the company
- Form C – completed by all members
- A shareholding certificate with percentages of Members that hold 25% or more of the voting rights
 - If ownership is more than 25% and is another person/legal entity additional documentation is required as per requirements of the client type
 - Form C to be completed by all persons/entities that hold 25% or more voting rights

2. Partnership

- Stamped Founding Statement and/or Partnership Agreement
- A list of partners (Name, Surname and copy of identity document and specimen signatures) on a company letterhead who will be acting on behalf of the company
- Form C – completed by all Partners
- A shareholding certificate with percentages of Partners that hold 25% or more of the voting rights
 - If ownership is more than 25% and is another person additional documentation is required as per requirements of the client type
 - Form C to be completed by all persons/entities that hold 25% or more voting rights

3. Trusts - All types

- Trust Deed / Will
- Letters of Authority (Stamped by the Master of the High Court)
- Copy of Identity document of founder and all trustees
- List of all beneficiaries and copy of identity document
- Resolution of Authorised Signatories (Name, Surname and copy of identity document and specimen signatures) on a Company letterhead who will be acting on behalf of the company
- Form C - completed by all Trustees and Founders
- Form C - completed by all Named beneficiaries who have a tax liability outside of South Africa; are citizens of another country or are resident outside of South Africa

4. Companies

Private Unlisted Company / Public Listed Company

- Certificate of Incorporation (CM1 / COR14.3 or most recent COR 39-CIPC print out)
- Certificate of Name change (CM9) where applicable
- Directors Resolution of Authorised Signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be acting on behalf of the company
- Form C – completed by all controlling persons and persons/entities that hold 25% or more voting rights
- A shareholder certificate with percentages of all persons or entities that hold 25% ownership or more voting rights.
 - If ownership is more than 25% and is another person/legal entity additional documentation is required as per requirements of the client type
 - Form C to be completed by all persons/entities that hold 25% or more voting rights

5. Other Legal Entities

Stokvels, Unions, Associations, Clubs, Churches, etc.

- Founding Document or Constitution
- If a Stokvel, the founding statement and if it does not have a founding statement, then NASASA, the self-regulatory body for stokvel sanctioned by the Registrar of Banks in terms of GN 620 of 2014, has one available for download from <http://nasasa.co.za/site/>
- Members Resolution of Authorised Signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be acting on behalf of the company
- A shareholding certificate with percentages of Members that hold 25% or more of the voting rights
 - If ownership is more than 25% and is another person/legal entity additional documentation is required as per requirements of the client type
 - Form C to be completed by all persons/entities that hold 25% or more voting rights

6. Retirement Funds/ Medical Schemes

- A copy of an FSCA/Registration document reflecting the Fund's Registration Number
- Resolution of Authorised Signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be acting on behalf of the company
- If another legal entity is appointed to act on behalf this investment additional documentation is required.
 - Power of attorney signed by authorised signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be giving authorisation to the 3rd party to act on behalf of the Retirement fund/Medical Scheme
 - Proof of establishing document

7. Linked Investment Service Provider (LISP)

- A copy of an FSCA / CIPC document reflecting the LISPS registration number
- Resolution of Authorised Signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be acting on behalf of the company

8. Fund of Funds (FoF)

- A copy of the 1st page of the Scheme's signed Supplemental Deed document that has been approved and stamped by the FSCA
- Resolution of Authorised Signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be acting on behalf of the Fund
- If another legal entity is appointed to act on behalf this investment additional documentation is required.
 - Power of attorney signed by authorised signatories (Name, Surname and copy of identity document with specimen signatures) on a company letterhead who will be giving authorisation to the 3rd party to act on behalf of the Fund of Funds
 - Proof of establishing document