

Regulatory Supporting Information

Before we can enter into a transaction with any investor, the Financial Intelligence Centre Act requires that Sanlam Collective Investments perform Client Due Diligence to identify and verify the identity of its investors: both Individuals and Legal Entities in whose name the Unit Trust Investment will be opened, including all beneficial owners, controlling persons and authorised signatories associated with the Legal entity. Additional information may be required for all the parties related to the Legal entity in order to establish residency, citizenship, countries of incorporation and/or operation and tax details 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 copy of the legal appointment document such as a General Power of attorney will be required if another entity is appointed to act on behalf of the investor
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Natural persons

- South African citizens - Copy of South African Bar-coded Identity Document (ID) or Smart Card ; or
- Foreign nationals - Copy of Passport or National Identity Document /Card
Please ensure that document clearly shows your Full names, Surname, ID number and (issue date if applicable). If a Smart Card is used, please ensure that we receive a clear copy of both sides

Please submit the following verification documents if you are acting on behalf of an investor:

1. Minors

Please submit the following verification documents if you are acting on behalf of an investor:

- Copy of Abridged / Unabridged Birth Certificate
- Proof of Identity of Parent or Guardian
- Proof of guardianship (if not Parent)
- Form C – completed by Parent or Guardian

We may require additional documents if:

- You are not a South African citizen
- We are unable to verify your information
- You are a tax resident outside of South Africa
- You are identified as a Politically Exposed Person, Domestic Prominent Influential Person (DPIP) or Foreign Prominent Public Official (FPPO) as defined in the FIC Act - DPIP- “domestic prominent influential person” is an individual who holds, or has held, a prominent public function (e.g. senior government officials and leaders of political parties) including individuals who hold prominent positions in the private sector, while a “foreign prominent public official” is defined as being an individual holding a prominent public function in a foreign country. This also includes politically exposed persons, the immediate family members and ‘known close associates’ of identified ‘domestic prominent influential persons’ and ‘foreign prominent public officials’

These may include

- **Proof of Banking Details** : Bank Statement, cancelled cheque or confirmation letter from the bank
- **Source of Income**: refers to something that provides a regular supply of money, such as employment, it also gives an indication of wealth the investor would reasonably be expected to have and provide of picture of how it was acquired (example: Occupation)
- **Source of Wealth**: refers to the origin of an individual’s entire body of wealth (i.e. total assets). This information will usually give an indication as to the volume of wealth the customer would be expected to have. Wealth of a person could be as a result of a number of different activities over a period of time
- **Source of Funds**: refers to the origin of the particular funds or other assets which are the subject of the business relationship or occasional transaction on a product or service offering basis. In certain instances, proof of source of funds will be required.

Legal Entities

1. Close corporations

- Certificate of Incorporation (CK1) or Stamped Amended Certificate of Incorporation (CK2), if name changes have been made OR CIPC
- A list of all members (Name, Surname, Identity number and specimen signatures) on a CC letterhead
- Resolution signed by Members appointing authorised signatories to act on behalf of the CC in respect of this investment
- Identity Document and Form C of all authorised signatories

2. Partnerships

- Stamped Founding Statement and/or Partnership Agreement
- A list of all partners (Name, Surname, Identity number and specimen signatures)
- Resolution signed by Partners appointing authorised signatories to act on behalf of the partnership in respect of this investment
- A list of partners reflecting each partners percentage of partnership holding
- Identity Document and Form C of all authorised signatories

3. Trusts (All types)

- Trust Deed / Will / Official document issued by Regulatory body of the Country of establishment (foreign trusts)
- Letters of Authority (Stamped by the Master of the High Court)
- List of all beneficiaries (Unless identified in the Trust deed)
- Resolution signed by Trustees appointing authorised signatories (Name, Surname, Identity Number and specimen signatures) to act on behalf of the Trust in respect of this investment
- Identity Document and Form C - of the Founder, Trustees, beneficiaries and authorised signatories

NB - Please note a copy of the death certificate will be required in the event of the Founder or beneficiary being deceased. Should a Trustee become deceased or resign as a trustee, a new Letters of Authority must be obtained from the Master of the High Court reflecting the revised trustees of the trust.

4. Companies

Private Unlisted Company / Public Listed Company

- Certificate of Incorporation (CM1 / COR14.3 or most recent COR 39 print out)
- Certificate of Name change (CM9) where applicable
- Where the company is a listed company, proof of listing is required (extract from Stock Exchange website)
- Resolution signed by Directors appointing authorised signatories (Name, Surname, Identity number with specimen signatures) to act on behalf of the company in respect of this investment
- A list of shareholders holding 25% or more controlling ownership interest or voting rights
- Identity document and Form C of authorised signatories, controlling persons and beneficial owners (individuals holding 25% or more voting rights) If ownership is more than 25% and is a legal entity additional documentation is required as per requirements of the entity type.

5. Foreign legal entity

- An official document which confirms the registration of the legal entity company in the relevant country of establishment (In English)
- Certificate of Name change where applicable
- Resolution signed by Directors appointing authorised signatories (Name, Surname, Identity number with specimen signatures)
- A list of shareholders holding 25% or more controlling ownership interest or voting rights
- Identity Document and Form C of authorised signatories, controlling persons and beneficial owners (individuals holding 25% or more voting rights) If ownership is more than 25% and is a legal entity additional documentation is required as per requirements of the entity type

6. Other legal entity

Government Department / State Owned Entity

- Certificate of Registration from the relevant Department/The name of the Legislative Act which creates the organ of state
- Resolution signed by Leadership appointing authorised signatories (Name, Surname, Identity number with specimen signatures) on letterhead who will be acting on behalf of the entity
- Identity Document and Form C of all authorised signatories

Stokvels, Clubs, Associations, Churches, Universities

- Founding Document or Constitution (if entity assets for Stokvel exceed R100 000, proof of registration with NASASA is required)
- Resolution signed by Executive members appointing authorised signatories (Name, Surname, identity number with specimen signatures) on a letterhead who will be acting on behalf of the entity
- Identity Document and Form C of all authorised signatories

7. Retirement Funds/ Medical Schemes

- A copy of the Regulatory Registration certificate reflecting Fund Registration Number
- Resolution signed by Trustees appointing authorised signatories (Name, Surname, Identity number with specimen signatures) on a letterhead acting on behalf of the entity
- Identity document and Form C of all authorised signatories
- If another legal entity is appointed to act on behalf this investment the following additional documentation is required.
 - Power of attorney signed by authorised signatories who will be giving authorisation to the 3rd party to act on behalf of the Retirement fund/Medical Scheme. Accompanied by a signatory list (Name, Surname, Identity Number with specimen signatures) of those who will be signing instructions in respect of this investment
 - Proof of establishing document

8. Linked Investment Service Provider (LISP)

- A copy of an FSCA / CIPC document reflecting the LISPS registration number
- A Copy of FAIS FSP license
- LISP company registration document –refer to point number 4.
- Resolution appointing authorised signatories (Name, Surname, Identity number and with specimen signatures) to act on behalf of the entity in respect of this investment
- Identity document and Form C of all authorised signatories

9. Collective Investments Schemes / Fund of Funds

- A copy of the 1st page of the Scheme's signed Supplemental Deed document that has been approved and stamped by the FSCA / Copy of FSCA registration document
- CIS company registration documents – refer to point number 4
- Resolution of authorised signatories (Name, Surname, Identity number with specimen signatures) on a letterhead indicating who will be acting on behalf of the Fund in respect of this investment
- Identity Document and Form C of all authorised signatories
- If another legal entity is appointed to act on behalf this investment the following additional documentation is required.
 - Power of attorney signed by authorised signatories who will be giving authorisation to the 3rd party to act on behalf of the Fund of Funds. Accompanied by a signatory list (Name, Surname, Identity Number with specimen signatures) of those who will be signing instructions in respect of this investment
 - Proof of establishing document

10. Non- Profit Organisations (NPO)

- NPO registered as a Trust refer to requirements as per sections on Trusts above
- NPO registered as a Company refer to requirements as per sections on Companies above
- NPO registered with the Department of Social Development (DSD) provide DSD registration certificate
- A list of all members (Name, Surname, Identity number and specimen signatures) on a letterhead
- Identity Document and Form C of authorised signatories