

Regulatory Supporting Information

Before we can enter 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

Natural persons

1. **South African citizens** - Copy of South African Bar-coded Identity Document (ID) or Smart Card; or
2. **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:

3. **Minors**
 - 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
4. **We may require additional information or documentation other than stated below, and we will contact you if required, where:**
 - 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 or Foreign) as defined in the FIC Act.'

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 because of a number of different activities over a period of time.
- **Source of Funds** refers to the origin of the 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 Amended Founding Statement (CK2)
- A list of all members (Name, Surname, Identity number, Address, and specimen signatures) on a letterhead
- Identification Document and Form C of all members
- Resolution signed by Members appointing authorised signatories to act on behalf of the CC in respect of this investment.
- Identity Document of all authorised signatories

2. Partnerships

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

3. Trusts

- 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, Address 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, Trustee 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. If the authorised party/ trustee/ beneficiary is another Legal Entity, then the requirements for that specific Legal entity type must be provided

4. Companies/ Long Term Insurer

Listed Company

- Proof of listing is required (extract from Stock Exchange website)
- Resolution signed by Directors appointing authorised signatories (Name, Surname, Identity number Address and specimen signatures) to act on behalf of the company in respect of this investment.
- Identity document of authorised signatories

Unlisted Company

- Certificate of Incorporation (COR14.3 or most recent COR 39 print out)
- All non-South African parties on the COR 39/ COR 14.3 should provide a copy of their passport and completed Form C
- Certificate of Name change (CM9) where applicable
- Resolution signed by Directors appointing authorised signatories (Name, Surname, Identity number Address and specimen signatures) to act on behalf of the company in respect of this investment.
- Identity document of authorised signatories
- A list of shareholders holding 25% or more controlling ownership interest or voting rights
- Please provide the company organogram and in instances where below owns more than 25 % Legal Entity: please provide the Cor 39
- Natural Person: please provide a copy of your ID and complete Form C

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.
- A list of all Senior management and or Directors (Name, Surname, Identity number and specimen signatures) on a letterhead
- Resolution signed by Directors appointing authorised signatories (Name, Surname, Address, Identity number with specimen signatures)
- Identity Document of all authorised signatories
- A list of shareholders holding 25% or more controlling ownership interest or voting rights
 - Identity Document and Form C of 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
- Proof of address

6. Other legal entity

Government Department / State Owned Entity/ Public Management Organisations

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

Body Corporate, Charitable Organisation, Church/Religious Organisation, Club, Foundation, Non-Government Organisation, Non-Profit Organisation, Stokvel, Trade Union

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

Schools and Universities

- Founding Document/ Document of Constitution/ Registration Certificate
- Schools: Registration Certificate issued by the relevant Department of Education
- Private schools must be registered with the Department of Education in terms of Section 46 of the Schools Act
- Public Schools: Government Gazette which stipulates the full name of the school.
- A list of all senior management (Name, Surname, Identity number, Address, and specimen signatures) on a letterhead
- Resolution signed by senior management appointing authorised signatories (Name, Surname, identity number with specimen signatures) on a letterhead who will be acting on behalf of the entity.
- Identity Document 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 of all authorised signatories
- If another legal entity is appointed to act on behalf this investment the following additional documentation is required.
- Regulatory Supporting Documentation, as per the legal entity type
 - Power of attorney/ Agreement by parties signed by authorised signatories authorising the legal entity to act on their behalf.
 - Accompanied by a signatory list (Name, Surname, Address Identity Number, Address with specimen

signatures) of those who will be signing instructions in respect of this investment

8. Linked Investment Service Provider (LISP)

- A copy of the CIPC document reflecting the relevant registration number
- Name of holding company
- A Copy of FAIS FSP license
- A list of all snr management and or Directors (Name, Surname, Identity number, Address, and specimen signatures) on a letterhead.
- Resolution, signed by directors, 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 of all authorised signatories
- If another legal entity is appointed to act on behalf the LISP, the following additional documentation is required.
 - Certificate of Incorporation (most recent COR 49 or COR 14.3 print-out)
 - The Power of attorney / Agreement between the parties,
- Resolution signed by authorised signatories for the administrator who act on behalf of the LISP. This document must list the following: (Name, Surname, Address, Identity Number with specimen signatures) of those who will be signing instructions in respect of this investment.

9. Collective Investments Schemes / Fund of Funds

- CIS Manager company registration documents – refer to point number 4
- Name of holding company
- A copy of the 1st page of the Fund's approved Supplemental Deed (stamped by the FSCA)
- Should a Third party be appointed to act on behalf of the Investor, the following additional documentation is required:
 - Regulatory Supporting Documentation, as per the legal entity type
 - A list of all snr management and or Directors (Name, Surname, Identity number, Address, and specimen signatures) on a letterhead
 - Resolution, signed by directors, naming authorised signatories (Name, Surname, Identity number, Address and specimen signatures) on a letterhead indicating who will be acting on behalf of the Investor.
 - Identity document of all authorised signatories
 - Power of attorney/Agreement signed by the directors naming the authorised signatories of the 3rd party to act on behalf of the Investor.
 - A signatory list (Name, Surname, Address, Identity Number with specimen signatures) of authorised parties, who will be signing instructions in respect of this investment.