

Addendum To Application Form



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SA COMPANY, CLOSE CORPORATION OR FOREIGN COMPANY

In terms of the Financial Intelligence Centre Act, No 38 of 2001 (FICA) all Financial Institutions have to identify and verify client information. The information has to be provided by all prospective clients before entering into a business relationship or concluding a single transaction.

Kindly complete the applicable sections set out below, being additional information required in terms of FICA. The completed form must accompany the application form together with all requested copies of documentation, to enable us to process the application.

CERTIFIED COPIES OF THE FOLLOWING DOCUMENTATION MUST BE SUBMITTED WITH THE APPLICATION FORM:

- SA Company:** Certificate of Incorporation (**CM1**)
Memorandum and Articles of Association
Certificate of Change of name (**CM9**)
Certificate to Commence Business (**CM46**)
Notice of Registered Office and Postal Address (**CM22**)
Directors (**CM29**)
- Close Corporation:** The most recent Founding Statement and Certificate of Incorporation (**CK1, CK2 and CK2A**)
- Foreign Company:** Certified copies of an official document issued by an authority for recording the incorporation of companies of the country of incorporation of the foreign company, witnessing its incorporation and bearing its name and number of incorporation and the address where it is situated for purposes of its incorporation
- **Identity Document or Passport of the Directors/Members**
 - **Letter of authorization for authorized person** to act on behalf of the CC/Company
 - **Identity Document or Passport of each natural person authorized** to act on behalf of the CC/Company
 - **Letterhead** of CC/Company reflecting the CC/Company trading name and business address details **or a recent utility bill/account statement** (less than 3 months old)
 - SARS document containing details of the **tax number/vat registration number**, if issued
 - **Bank Statement or cancelled cheque** to verify banking details

GENERAL

Supply as much detail as possible about the source of funds to be invested:

State type of business of company/close corporation:

SECTION A

Trade name of SA company/CC (registered name to be completed on application form):

Trade name of foreign company in foreign country (registered name to be completed on application form):

Trade name of foreign company in South Africa:

Registration number under which CC/company (SA or foreign) is incorporated:

Registered address of CC/company (SA or foreign):

Trading address of SA company/CC (if operating from multiple addresses then head office address)

Trading address of foreign company in foreign country (if operating from multiple addresses the address of its head office):

Trading address of foreign company in South Africa (if operating from multiple addresses, the address of the office seeking to establish a business relationship/single transaction):

Income tax and VAT registration numbers of CC/company (SA or foreign), if issued

SECTION B

Complete details concerning the CEO/Manager of the company or each member of the CC:

CEO/Manager of company

Full names & Surname:

Date of birth:

Identity number:

Nationality (if foreign national):

Passport number (if foreign national):

Residential address:

Contact particulars: Dialing code:

Number:

Cellular number:

E-mail address:

Member of CC:

Full names & Surname:

Date of birth:

Identity number:

Nationality (if foreign national):

Passport number (if foreign national):

Residential address:

Contact particulars: Dialing code:

Number:

Cellular number:

E-mail address:

Member of CC:

Full names & Surname:

Date of birth:

Identity number:

Nationality (if foreign national):

Passport number (if foreign national):

Residential address:

Contact particulars: Dialing code:

Number:

Cellular number:

E-mail address:

SECTION C

Complete details concerning each natural person who is authorized to act on behalf of the CC / company (SA or Foreign):

Authorised/Mandated person

Full names & Surname: _____

Date of birth: _____

Identity number: _____

Nationality (if foreign national): _____

Passport number (if foreign national): _____

Residential address: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

Cellular number: _____

E-mail address: _____

Authorised/Mandated person

Full names & Surname: _____

Date of birth: _____

Identity number: _____

Nationality (if foreign national): _____

Passport number (if foreign national): _____

Residential address: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

Cellular number: _____

E-mail address: _____

SECTION D

Complete details concerning Share Holders holding 25% or more of the voting rights at a general meeting of the company (SA or Foreign) concerned - (Not Applicable for Companies listed on the JSE)

If shareholder is natural person: Attach Certified copies of Identity Document or passport

Full names & Surname: _____

Date of birth: _____

Identity number: _____

Nationality (if foreign national): _____

Passport number (if foreign national): _____

Residential address: _____

Contact particulars: Dialing code: _____

Number: _____

Cellular number: _____

E-mail address: _____

If shareholder is SA company/ CC:

Attach certified copies of:

- If company- Certificate of Incorporation (**CM1**)
 Notice of Registered Office and Postal Address (**CM22**)
- If CC- The most recent Founding Statement and Certificate of Incorporation (**CK1, CK2 and CK2A**)

Registered name: _____

Registration number: _____

Registered address: _____

Trade name: _____

Trading/Business address (and head office address if operating from multiple addresses):

- **Attach Letterhead** of CC/Company reflecting the CC/Company trading name and business address details **or a recent utility bill/account statement** (less than 3 months old)

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

If shareholder is foreign company:

Attach copies of official document issued by an authority for recording the incorporation of companies of the country of incorporation of the foreign company, witnessing its incorporation and bearing its name and number of incorporation and the address where it is situated for purposes of its incorporation.

Name under which it is incorporated: _____

Number under which it is incorporated: _____

Address for purposes of incorporation: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

If share holder is other legal person:

(E.g. Pension/Provident fund, social security funds, schools, co-operatives, deceased estates, insolvent estates, sole Proprietors etc.) Attach copy of constitution or other founding document.

Name of legal person: _____

Type of legal entity: _____

Address: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

If share holder is partnership: Attach copy of partnership agreement.

Name of partnership: _____

Address: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

If share holder is a trust

Attach certified copy of:

- The **trust deed** or other founding document;
- In the case of a trust created in the Republic, the authorization given by the Master of the High Court in terms of section 7 of the Trust Property Control Act, 1988, (Act No. 57 of 1988) to each trustee of the trust to act in that capacity;
- In the case of a trust created outside the Republic, an official document, which reflects relevant particulars, issued by an authority in the country where the trust is created which administers or oversees laws relating to, trusts in that country.

Identifying name: _____

Number of the trust: _____

Address: _____

Contact particulars: Dialing code: _____

Number: _____

Fax particulars: Dialing code: _____

Fax number: _____

SIGNATURE OF INVESTOR

The Client warrants that all statements made and information particulars supplied by him/her/it or on his/her/its behalf in this addendum to the application form are true and correct.

Signed at: _____

Date: _____

Signature of Investor (Authorized/Mandated official)

SIGNATURE OF FINANCIAL / INVESTMENT ADVISER

The Financial / Investment Adviser warrants that he/she has taken reasonable steps to establish and verify the identity of the client and any other person required/involved in the establishment of the business relationship or single transaction.

Name of Financial / Investment

Advisor: _____

Financial / Investment Advisor

code: _____

Signature of Financial /

Investment Advisor: _____

Date: _____