

## Schedule of accepted FICA Documents

In terms of the Financial Intelligence Centre Act 38 of 2001 (“FICA”), and the regulations thereto, PSG Asset Management is compelled to identify and verify the identity of its clients: **We require the following original documents, or a certified copy of the following original documents.**

### NATURAL PERSONS

#### 1. SA Citizen/Resident

- 1.1 ID document
- 1.2 Proof of residential address (less than 3 months old).
- 1.3 A document(s) confirming Income Tax number as registered at SARS.

#### 2. Foreign Citizens

- 2.1 Copy of passport.
- 2.2 Proof of residential address (less than 3 months old).
- 2.3 Proof of source of funds.

### LEGAL PERSONS

#### 3. SA Companies

- 3.1 Certificate of Incorporation (CM1 or CoR15.2), Certificate of Change of Name of Company (CM9), where applicable, Notice of Registered Office & Postal Address (CoR21) bearing Registrar’s stamp and signed by the Company Secretary and Certificate of confirmation issued by Cipro of Register of Directors, Auditors and Officer (CoR39) bearing the Registrar’s stamp.
- 3.2 Proof of business address (less than 3 months old).
- 3.3 Documents as set out in 1.1 and 1.2 above in respect of the manager, all authorised representatives, and all individuals holding 25% or more of the voting rights at a general meeting.
- 3.4 Proof of authority to act for company ie. Director’s resolution.
- 3.5 Document(s) confirming Income Tax number as registered at SARS.
- 3.6 Documents as set out in 3.1 & 3.2 for legal persons holding 25% or more of the voting rights at a general meeting.

#### 4. SA Close Corporations

- 4.1 Founding Statement & Certificate of Incorporation (CK1) & Amended Founding Statement (CK2), if applicable, containing Registrar’s stamp and signed by an authorised representative/employee.
- 4.2 Proof of business address (less than 3 months old).
- 4.3 Document(s) confirming Income Tax number as registered at SARS.
- 4.4 Documents as set out in 1.1 and 1.2, as applicable in respect of each member and all authorised representatives.
- 4.5 Proof of authority to act for close corporation i.e.. member’s resolution.

#### 5. Foreign Companies

- 5.1 Official document from foreign regulator witnessing incorporation, bearing the name, number and address.
- 5.2 Proof of business address (less than 3 months old).
- 5.3 Documents as set out in 1.1 and 1.2 above in respect of the SA manager, all authorised representatives, all individuals holding 25% or more of the voting rights at a general meeting.
- 5.4 Proof of authority to act for company ie. Director’s resolution.
- 5.5 Applicable documents in respect of legal persons holding 25% or more of the voting rights at a general meeting.

#### 6. Retirement funds

- 6.1 Registration certificate from the Registrar of Pension Funds (FSB) or copy of Registered Rules.
- 6.2 Approval certificate from the Commissioner of Inland Revenue (SARS).
- 6.3 List of authorized signatories and specimen signatures.
- 6.4 Identity documents and proof of residential addresses for all authorised signatories.
- 6.5 Proof of authority to act on behalf of the Fund (Trustee Resolution).

#### 7. Other Legal Persons (eg. clubs, associations, body corporates, retirement funds)

- 7.1 The constitution or other founding document in terms of which legal person is created.
- 7.2 Document(s) confirming Income Tax number as registered at SARS (if applicable)
- 7.3 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 7.4 Proof of authority to act for legal person.

#### 8. Partnerships

- 8.1 Partnership agreement.
- 8.2 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 8.3 Proof of authority to act for partnership.
- 8.4 Applicable documents in respect of any legal person or an institution exercising executive control.



## **9. Trusts**

- 9.1 The main deed or other founding document such as a will.
- 9.2 Letters of authority from Master (SA trust) or foreign regulator (foreign trusts) to trustees.
- 9.3 Document(s) confirming the Income Tax number as registered at SARS.
- 9.4 Documents as set out in 1.1 and 1.2 above in respect of an individual founder of the trust, each individual trustee, each individual beneficiary, all authorised representatives.
- 9.5 A death certificate or certificate of deregistration where founder died or ceased to exist.