

## Other documents required when opening accounts





# Other documents required when opening accounts

## Opening a trading account

### Individual

Download and complete the [PSG Securities Client Mandate](#).

This document is included in the registration steps when applying for an account online.

To apply for an account online [Click here](#)

[Click here](#) to view the FICA requirements.

FATCA:

- Download the [CRS and FATCA Certification Form for Individuals](#)  
\* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

### Company

Download and complete the [PSG Securities Client Mandate](#).

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[Click here](#) to view the FICA requirements.

FATCA:

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- Download the [CRS and FATCA Certification Form for Individuals](#)  
\* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

### Trust

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FATCA:

- Download the [CRS and FATCA Certification Form for Entities](#)



- Download the [CRS and FATCA Certification Form for Individuals](#)
  - \* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

## Closed Corporation

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[Click here](#) to view the FICA requirements.

FATCA:

- Download the [CRS and FATCA Certification Form for Entities](#)
- Download the [CRS and FATCA Certification Form for Individuals](#)
  - \* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

## Estate Late

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[Click here](#) to view the FICA requirements

FATCA:

- Download the [CRS and FATCA Certification Form for Entities](#)
- Download the [CRS and FATCA Certification Form for Individuals](#)
  - \* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

## Club / Partnership Non-resident Individual

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[Click here](#) to view the FICA requirements

FATCA:

- Download the [CRS and FATCA Certification Form for Entities](#)
- Download the [CRS and FATCA Certification Form for Individuals](#)
  - \* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.



## Non-resident Company

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[Click here](#) to view the FICA requirements

FATCA:

- Download the [CRS and FATCA Certification Form for Entities](#)
- Download the [CRS and FATCA Certification Form for Individuals](#)  
\* To be completed if you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa.

## Extra documents required for CFD accounts

- [Please note all CFD accounts also require all documents as specified above per account type](#)
- Download the [CFD Terms and Conditions](#)

This document is included in the registration steps when applying for a CFD account online.

To apply for an account online [Click here](#)

FICA Required:

- Download the [Deed of Suretyship](#)
- Download the [Special Power of Attorney](#)

## Single Stock Futures Accounts

- [Please note all SSF accounts also require all documents as specified above per account type](#)
- Download the [SSF Terms and Conditions](#)

To apply for an account online [Click here](#)

## Transferring shares

### Dematerialise shares

- Please provide us with the following original documents:
- Original Share Certificates
- Completed [CM42 Form](#) for each certificate

### Transfer shares from another broker

- PSG Wealth trading and investment platform [transfer letter](#) sent to PSG Wealth and transferring broker



## Transfer shares from Computershare

- Please download the [Computershare Withdrawal Form](#) (All Companies)

## Transfer shares from JSE Investor Services

- Please download the [JSE Investor Services Withdrawal Form](#) (only for Old Mutual Limited, Nedbank Limited and Quilter PLC withdrawals)

You may be required to submit original certified copies of your FICA documents, as required by third party providers to process the transfers of shares to PSG.

## Offshore investing

### International Trading

### Allowance without Tax Clearance (R1 Million Single Discretionary Allowance)

FICA Required:

- Open an equity account, download and sign the [Foreign Investment Allowance Mandate](#) if not an existing client
- Original Certified Copy of your ID
- [Balance of Payments Forms](#) (All fields must be completed)
- [Declaration - Single Discretionary Allowance](#)

### Allowance with Tax Clearance

- PSG Offshore Securities - Banking Details (Investment Allowance) [Click here](#)
- PSG Securities Ltd [Foreign Investment Allowance Mandate](#)
- [PSG Securities Client Mandate](#).

These two documents are included in the registration steps when applying for an account online.

To apply for an account online [Click here](#)

FICA Required:

- Original Certified Copy of your ID
- Original or certified Copy of your utility bill reflecting your physical address
- Original SARS Tax clearance certificate (Income tax number)

### Repatriation of Allowance Funds

- Download and complete the [Repatriate Offshore Fund Allowance Form](#) (All fields must be completed)

If you need assistance with taking funds Offshore please view the below steps and the documents required for their completion

### Taking Money Offshore



Step 1 - Obtain SARS Tax clearance certificate

Step 2 - Forex conversion and remittance of funds offshore

FICA Required:

- Please courier the following original documents to our Offshore Department in our Bryanston office
- Original Certified Copy of your ID
- Original SARS Tax clearance certificate (Income tax number)
- [Balance of Payments Forms](#) (All fields must be completed)

If you need assistance with taking funds Offshore please view the below steps and the documents required for their completion

### Offshore Asset Swap

- PSG Wealth [Foreign Investment Asset Swap Mandate](#)
- [PSG Securities Client Mandate](#)

These two documents are included in the registration steps when applying for an account online.

To apply for an account online [Click here](#)

FICA Required:

- Original certified Copy of your ID
- Original or certified Copy of your utility bill reflecting your physical address
- Copy of SARS document (Income tax number)

### Foreign Equity Linked

- PSG Wealth [Foreign Investment Asset Swap Mandate](#)
- PSG Wealth [Consolidated Equity Mandate](#)

## Declaration of foreign tax obligations

### Examples of declaration forms

- [FATCA Forms infographic](#)
- [W-8BEN client guide](#)
- [W-9 client guide](#)
- [W-8BEN-E client guide](#)
- [W-8IMY client guide](#)
- [Withholding statement](#)

### Important information

- Please have all documents certified before sending them to us
- Please do not use any abbreviations when completing these forms
- Please do not make any alterations when completing these forms
- Do not cross out any fields or mark as N/A
- Please take note of the format in which dates are required (MM-DD-YYYY)
- The US government will need you to complete this process every three years



- If any information is missing or completed incorrectly, your form will be invalid and no documents will be registered against your account
- Forms must be re-completed whenever there is a material change in facts
- You will only benefit from lower dividend tax once the QI status of our offshore intermediary is approved by the US government and your W8 / W9 form is received
- From January 2015 all new clients will have to complete the relevant forms as part of their account activation process
- No account will be opened without the necessary documents
- Do not complete the tax number in block 6 (six) of the W8-BEN form

Reporting entity	Document to be completed
US nationals (US individual)	<ul style="list-style-type: none"> <li>• Download and correctly complete the <a href="#">W9 Form</a></li> <li>• Copy of ID (US citizens)/Passport</li> <li>• Copy of utility bill (showing physical address)</li> </ul>
Non-US nationals (Individual)	<ul style="list-style-type: none"> <li>• Download and correctly complete the <a href="#">W8-BEN Form</a></li> <li>• Copy of ID (SA citizens)/Passport (foreign non-US nationals)</li> <li>• Copy of utility bill (showing physical address)</li> </ul>
Joint accounts	<ul style="list-style-type: none"> <li>• Download and correctly complete the <a href="#">W8-BEN Form</a> for all parties</li> <li>• Copy of ID (SA citizens)/Passport (foreign non-US nationals) for all parties</li> <li>• Copy of utility bill (showing physical address) for all parties</li> </ul>
Companies / Trusts deriving income from US securities for their own account	<ul style="list-style-type: none"> <li>• Download and correctly complete the <a href="#">W8-BEN-E Form</a></li> <li>• Document which evidences address of the company / trust</li> <li>• Copy of certificate of incorporation</li> <li>• Trust deed</li> <li>• Letter of authority</li> <li>• Confirmation of authorised signatories</li> <li>• ID of authorised signatories</li> <li>• Proof of address of the authorised signatories</li> </ul>
Companies deriving income from US securities for client accounts	<ul style="list-style-type: none"> <li>• Download and correctly complete the <a href="#">W8-IMY Form</a></li> <li>• Download and correctly complete the <a href="#">W8-BEN Form</a> or Download the <a href="#">W9 Form</a> for the beneficial owners of 25% or more of the company</li> <li>• Copy of certificate of incorporation</li> <li>• Document which evidences address of the company</li> <li>• Copy of utility bill and Copy of ID for each beneficial owner with a shareholding of 25% or more in the company</li> <li>• <a href="#">Withholding statement</a></li> </ul>



Trusts (flow-through entity) deriving income from US securities for client accounts	<ul style="list-style-type: none"><li>• Download and correctly complete the <a href="#">W8-IMY Form</a></li><li>• Download and correctly complete the <a href="#">W8-BEN Form</a> or Download the <a href="#">W9 Form</a> (dependent on nationality) for ALL named beneficiaries</li><li>• Copy of ID/Passport/Driver's license of each trustee and named beneficiary</li><li>• Copy of trust deed and founding document</li><li>• Document which evidences the address of the trust</li><li>• Copy of utility bill of each trustee and named beneficiary</li><li>• <a href="#">Withholding statement</a></li></ul>
Clubs and partnership accounts	<ul style="list-style-type: none"><li>• <a href="#">W8-BEN Form</a> or Download the <a href="#">W9 Form</a> for each member or partner</li><li>• Copy of ID (SA citizens)/Passport (foreign non-US nationals) for each member or partner</li><li>• Copy of utility bill (showing physical address) for each member or partner</li></ul>
Close Corporations	<ul style="list-style-type: none"><li>• Download and correctly complete the <a href="#">W8-IMY Form</a></li><li>• Download and correctly complete the <a href="#">W8-BEN Form</a> for each member</li><li>• Copy of ID (SA citizens)/Passport (foreign non-US nationals) for each member</li><li>• Copy of utility bill (showing physical address) of close corporation</li><li>• Copy of registration of close corporation (CK1)</li><li>• Copy of utility bill for each member</li><li>• <a href="#">Withholding statement</a></li></ul>

## Special products

### Investec Cash Manager

- [Investec Cash Manager Application](#)
- [Investec Cash Manager - Cash Placement Services Brochure](#)
- [Investec Cash Manager - Guarantee Form](#)

### Momentum Share Portfolio

- [Momentum PSP - Client Information Brochure](#)

### Currency Futures





- [IRC - Client Agreement](#)
- [IRC - Client Particular Schedule](#)

## ETF Investment Plan

You can register for an ETF account online, therefore no documents are required to be completed manually.

To apply for an ETF Investment Plan account online [Click here](#)  
The same FICA documents are required as when opening a normal trading account -

FICA Required:

- Original Certified Copy of ID / Passport / Driver's License
- Copy of utility bill (showing physical address)
- Copy of SARS document (Income tax number)

## MTN Zakhele BEE Scheme

Contact the settlements team at [PSG.Wealth.Settlements@psg.co.za](mailto:PSG.Wealth.Settlements@psg.co.za) to assist you with opening the account.