

Securities Customer Due Diligence: Companies

- Complete this form if you have applied for an offshore product with PSG Securities Ltd.
- Registered companies must complete this form.
- This form must also be completed when a company is funding an individual or a trust or is involved with such an individual or trust's investments.
- If Platform Securities deems a client to pose a higher money laundering risk, an Enhanced Due Diligence (EDD) process may be performed, and additional information will be required. For more information on the EDD process, please [click here](#).
- Send the completed form to instructions@psg.co.za.
- If you need assistance, please contact your financial adviser or one of our client service consultants on 0860 774 774 or at clientservice@psg.co.za.

Account holder details

Registered company name	<input type="text"/>
Registration number	<input type="text"/>
Country of Incorporation	<input type="text"/>
Income tax number	<input type="text"/>
Contact number	<input type="text"/>
Description of business operations	<input type="text"/>
Type of products sold/manufactured	<input type="text"/>
Primary geographic area of trade	<input type="text"/>
Other countries where company operates	<input type="text"/>
Length of company's existence	<input type="text"/>
Is the company listed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is it an NPO, charity or NGO?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is it a Non-banking Financial Institution?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Visit our [website](#) for a list of FICA documents for companies.

- Please submit the following FICA documents for all directors and shareholders:
- A certified copy of your ID or your passport (if you are not a South African citizen)
 - A certified proof of address (less than three months old)

Please provide the information of the Directors of the company below.

Director's first name(s) and surname	Date of birth	Residential address

Are any of the directors a director or beneficial owner of another company?

☐ Yes ☐ No

If "Yes", please provide details:

Director ☐ Beneficial owner ☐ Company name Duration of position

Complete the information for all beneficial owners (individuals or entities that own or control, directly or indirectly, 25% of the company or more). If the beneficial owner is an entity, please include the details for the natural person/s who are the beneficial owners of those entities.

Shareholder's first name(s) and surname	Date of birth	Residential Address

Account details

How will the account be opened?

☐ In person ☐ Online ☐ Via post

Size of proposed investment (ZAR) with PSG

Size of existing business (ZAR) with PSG (if applicable)

What is the intended purpose of the account?

Anticipated frequency of the account activity

Company's shareholding structure (provide shareholding diagram)

Where does the money come from?

We are required by law to ask where the money comes from, and in some cases to verify the source of the investment. Please tick the appropriate blocks below.

Source of funds		Approximate amount (ZAR)
<input type="checkbox"/>	Operating income	
<input type="checkbox"/>	From shareholders	
<input type="checkbox"/>	From group companies	
<input type="checkbox"/>	Investment	
<input type="checkbox"/>	Credit facilities	
<input type="checkbox"/>	Trust (if selected, complete the "Customer Due Diligence form: Trust")	
<input type="checkbox"/>	Other (please specify) <input type="text"/>	

What is the source of wealth?

We are required to confirm your source of wealth and how you acquired it. Please complete the section below and tick the appropriate blocks for your source of wealth.

Please provide a brief summary of how the company was established and what funds were used.

Source of wealth		Approximate amount (ZAR)
<input type="checkbox"/>	Operating income	
<input type="checkbox"/>	From shareholders	
<input type="checkbox"/>	From group companies	
<input type="checkbox"/>	Investment	
<input type="checkbox"/>	Credit facilities	
<input type="checkbox"/>	Other (please specify) <input type="text"/>	

Signatures

I hereby declare that:

- to the best of my knowledge, the information provided in these forms is true and correct.
- I have read and understood the [terms and conditions](#) of PSG Securities' offshore services provider and custodian. I have read and understood the features of the PSG Wealth Offshore share Trading Account as outlined in the [Key Information Document](#).

Investor

Investor signature

Date

If you are signing on behalf of the investor, please provide your details below.

Name

Surname

ID/Passport number

Designation

Signature

Financial adviser

Adviser signature

Date

Contact details

Physical address: Building 1, The Ingress, Corner of Magwa and Lone Creek Crescents, Waterfall City, Waterfall, 2090, Gauteng, South Africa

Postal address: PO Box 61295, Marshalltown, 2107, South Africa

Sharecall: 0860 774 774

Email: clientservices@psg.co.za

Website: www.psg.co.za



Annexures to CDD form for Registered Companies

Annexure A - Acceptable documents for proof of ID and proof of address

ID for registered company

Certified copy of articles of association/ memorandum of incorporation

Address for registered company

Certified extract from company register or the equivalent local document (less than 3 months old), confirming the company name, legal form, address of registered office

ID for directors and natural person beneficial owners with more than 25% shareholding

Valid official identification document for the customer (passport, national identity card or equivalent document in the country) bearing the customer's photograph

Address for directors and natural person beneficial owners with more than 25% shareholding

Documents accepted as proof of address:

- Utility bill, e.g. municipal water and lights account or property managing agent statement
- Bank statement
- Municipal councillor's letter
- Tax certificate
- Recent active lease or rental agreement
- Municipal rates and taxes invoice not older than 3 months
- Account statement from an NCR (National Credit Regulator) registered service provider (NCR number must be visible/recorded on the document)
- Security service providers registered with PSIRA (Private Security Industry Regulatory Authority), e.g. Chubb, ADT (PSIRA number must be visible/recorded on the document)
- Telephone or cellular telephone statement
- Official SARS document (not eFiling documentation)
- Valid television license renewal letter
- Television license renewal/confirmation letter
- Subscription TV, e.g. MultiChoice statement
- Home loan statement
- Long/short-term insurance policy documents from a Financial Services Provider (FSCA number must be visible/recorded on the document)
- Motor vehicle registration/license documents
- Body corporate/governing body letter or statement
- Official employer letter for employees residing on company/ institution premises
- Official university/technicon/college or tertiary institution registration letter
- Posted traffic fine from a Metro police department (e-toll statements are not accepted)
- Medical aid statement or policy document (policy number must be visible on the document)
- Letter from municipality confirming residential address or business address (for business clients)
- Tribal authority letter confirming residential address or business address (for business clients)
- Signed letter from an independent auditor/accountant on their company letterhead confirming physical/trading/operational address for the business (for business clients).
- Affidavit to confirm address (if none of the above available – but affidavit to be used in exceptional circumstances)

All of the documents listed above must be certified and be less than 3 months old, or in force at the date of submission to Platform Securities.

List of documents more than 3 months old that may also be used as proof of address:

- Signed lease or rental agreement (less than one year old)
- Home loan statement from another financial institution (less than six months old)
- Official SARS document (less than one year old)
- Long/Short-term insurance policy documents from another financial services provider (less than one year old)
- Body corporate/governing body letter or statement (less than one year old)
- Motor vehicle registration/license documents (less than one year old)
- Television license renewal confirmation letter (less than one year old)

Who can certify: notary, lawyer, financial planner, chartered accountant, solicitor, Commissioner of Oaths, bank, councillor, minister of religion, dentist or teacher.

Who can't certify: any person related or in relation to the individual/UBO, or living at the same address



Annexure B - Accepted documents to evidence the directors/entity's representatives

Elements identifying the legal entity's representatives/executive director - Any of the below documents:

- Original or certified copy of the up-to-date statutes (the most recent version available) or the articles of association: it will refer to (i) the procedures for nominating the representatives, (ii) the procedures for representing the company in relation to third parties (by decision of the Board of Directors, or by its Chairperson, Chief Executive Officer, etc.), or (iii) the name of the company's representatives in dealing with third parties if they are directly designated in the statutes.
- Copy of the minutes of the general meeting or board of directors meeting designating the representatives and their powers.
- Extract from the official register of business and companies (RCS) or the equivalent local document, dated less than 3 months ago, where this specifies the list of executive directors.
- Copy of the mandate or delegation by separate instrument if the company has delegated the power to represent it in dealing with third parties, in particular for opening the account for a corporate officer or a third party (other than the company's legal representatives).
- Official identification document for the legal representatives (passport, national identity card or equivalent document in the country).
- Official identification document for the authorised representatives or holders of mandates or delegations.