



Documentation Required in Terms of the Financial Intelligence Centre Act 38 Of 2001 (as amended) and Sygnia's Customer Due Diligence Requirements

Please note that Sygnia Securities reserves the right to request information and/or documents in addition to the below minimum required documents.

Account for an Adult Individual

- 1) Certified Copy of ID/Valid Passport
- 2) Proof of Banking Details - Bank Statement/Bank Confirmation Letter, not older than 3 months
- 3) Proof of Income Tax number as reflected on an official SARS/Relevant Tax Authority document
- 4) Proof of Residential Address, not older than 3 months

Account for a Minor Individual

- 1) Certified Copy of guardian's ID/Valid Passport
- 2) Proof of Residential Address of Guardian, not older than 3 months
- 3) Proof of Banking Details in the Name of the Minor – Bank Statement/Bank Confirmation Letter, not older than 3 months
- 4) Certified Copy of Minor's Unabridged Birth Certificate/ID/Valid Passport
- 5) Proof of Guardianship (If Different from Unabridged Birth Certificate) – Court Order

Account for a Close Corporation

- 1) Registered Name/Number/Address-Founding Statement and Certificate of Incorporation (CK1 or CK2)/Similar Incorporation Documents
- 2) Certified Copy of Signed Member's Resolution Authorising Representative to Open the Sygnia Securities Account and to Sign all Documents Necessary to Open, Effect Changes and Operate such Account on behalf of the Closed Corporation
- 3) Certified Copy of Signed Member's Resolution Authorising Representative(s) to Give Trading and Payment Instructions on the Sygnia Securities Account on behalf of the Closed Corporation
- 4) Certified Copy of ID/Valid Passport for All the Members of the Close Corporation
- 5) Authorised Representatives - List of Full Names and Specimen Signatures & Certified Copy of ID's/Valid Passports
- 6) Proof of Residential Address of All Members & All Authorised Representatives, not older than 3 months
- 7) Proof of VAT & Income Tax numbers/Written confirmation there is none and Reason therefore
- 8) Proof of Banking details In the Name of the Close Corporation - Bank Statement/Bank Confirmation Letter, not older than 3 months

Sygnia

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Sygnia Financial Services (Pty) Ltd is a licensed Financial Services Provider [FSP 44426]

***** If a Foreign Close Corporation – Incorporation and Tax Documents as provided by the relevant Registrar or Authority**

Account for a Company

- 1) Registered Name/Number - Certificate of Incorporation (CM1/Cor 14.3)
- 2) Registered Address (CM22/Cor 21)
- 3) List of Active Directors (Cor39)
- 4) Certificate of Name Change (CM9/Cor14.3), if Applicable
- 5) Certified Copy of Director's resolution authorising Representative to Open the Sygnia Securities Account and to Sign all Documents Necessary to Open, Effect Changes and Operate such Account on behalf of the Company
- 6) Certified Copy of Signed Director's Resolution Authorising Representative(s) to Give Trading and Payment Instructions on the Sygnia Securities Account on behalf of the Company
- 7) Certified Copy of ID/Valid Passport for All the Directors of the Company
- 8) Authorised Representatives - List of Full Names and Specimen Signatures & Certified Copy of ID's/Valid Passports
- 9) Proof of Residential Address of All Directors & All Authorised Representatives, not older than 3 months
- 10) Proof of VAT & Income Tax Number numbers/Written confirmation there is none and Reason therefore
- 11) Proof of Banking Details in the Name of the Company - Bank Statement/Bank Confirmation Letter, not older than 3 months
- 12) Original Letter from Auditors confirming Shareholding
- 13) Shareholders of the company holding more than 25%:
 - FICA documents for each individual or entity

***** If a Foreign Company – Incorporation and Tax Documents as provided by the relevant Registrar or Authority**

Account for a Trust

- 1) Copy of Latest Trust Deed
- 2) Certified Copy of the latest Letters of Authority issued by the Master of the High Court to each Trustee to act in that capacity
- 3) Certified Copy of ID/Valid Passport of the Founder/Settlor, All Trustees, All Named Beneficiaries, and All Authorised Representatives
- 4) Proof of Residential Address of Founder/Settlor, All Trustees, All Named Beneficiaries, and All Authorised Representatives, not Older than 3 Months
- 5) Proof of VAT & Income Tax numbers/Written confirmation there is none and Reason therefore
- 6) Proof of Banking Details in the Name of the Trust - Bank Statement/Bank Confirmation Letter, not older than 3 months
- 7) Certified Copy of Trustee's Resolution authorising Representative to Open the Sygnia Securities Account and to Sign all Documents Necessary to Open, Effect Changes and Operate such Account on behalf of the Trust
- 8) Certified Copy of Signed Trustee's Resolution Authorising Representative(s) to Give Trading and Payment Instructions on the Sygnia Securities Account on behalf of the Trust

***** If a Foreign Trust – Authority Granted to Trustees and Tax Documents as provided by the relevant Registrar or Authority**

Account for a Partnership

- 1) Certified Copy of Partnership Agreement or Signed Letter from All the Partners Confirming the Informal Partnership
- 2) Certified Copy of ID/Valid Passport of all Partners and Authorised Representatives
- 3) Proof of Residential Address of All Partners and Authorised Representatives, not Older than 3 Months
- 4) Proof of Income Tax Number of All Partners as reflected on an official SARS/Relevant Tax Authority document
- 5) Certified Copy of Partner's Resolution authorising Representative to Open the Sygnia Securities Account and to Sign all Documents Necessary to Open, Effect Changes and Operate such Account on behalf of the Trust

- 6) Certified Copy of Signed Partner's Resolution Authorising Representative(s) to Give Trading and Payment Instructions on the Sygnia Securities Account on behalf of the Trust
- 7) Proof of Banking Details in the Name of the Partnership - Bank Statement/Bank Confirmation Letter, not older than 3 months
- 8) Proof of Source of Funds and Source of Wealth

Account for an Investment Club

- 1) Full Names of Club's duly Authorised Representatives
- 2) Full Names of all Club Members
- 3) Certified Copy of ID/Valid Passport of All Club Members and Authorised Representatives
- 4) Proof of Residential Address of All Club Members and Authorised Representatives, not Older than 3 months
- 5) Certified Copy of Club's constitution
- 6) Mandate from Club Consenting that Legal Proceedings may be instituted against Members of the Club Jointly and Severally or Provide Suretyship from each of the Members in their Personal Capacity in which Each Member agrees to Jointly and Severally be Liable for the Debts incurred by the Club
- 7) Proof of Source of Funds and Proof of Source of Wealth

Account for A Non-Profit Organisation (NPO)/Public Benefit Organisation (PBO)/Government Organisation, Provincial Administration, Municipality

- 1) Certified Copy of the Constitution or Other Founding Documents for the Legal Entity
- 2) Proof of Operating Address – Utility Bill/Formal Letterhead, not Older than 3 Months
- 3) Certified Copy of Resolution/Mandate of All Authorised Representatives
- 4) Certified Copy of ID/Valid Passport of All Authorised Representatives
- 5) Proof of Residential Address of All Authorised Representatives, not Older than 3 Months
- 6) Proof of Banking Details in the Name of the Entity – Bank Statement/Bank Confirmation Letter, not Older than 3 Months
- 7) Status that the Entity is an Approved NPO – Official SARS Document, and must be Current
- 8) Proof of Source of Funds and Source of Wealth

If Acting with a Power of Attorney

- 1) All of the above documentation required for Investor
- 2) Certified Copy of ID/Valid Passport of Person holding the Power of Attorney
- 3) Proof of Residential Address of Person with Power of Attorney, not Older than 3 Months
- 4) Certified Copy of Power of Attorney