

FICA REQUIREMENTS FOR UNLISTED COMPANIES, CLOSE CORPORATIONS & OTHER LEGAL ENTITIES

You will need to provide us with specific supporting documentation to FICA verify a Custody and Settlement Account

Required Documentation:

- 1 A certified copy of:

Companies

- 1.1 CM1/Cor14.1 Certificate of Incorporation and CM29 form bearing the stamp of the Registrar of Companies / COR 39

Close Corporations

- 1.2 CK1/CK2 Founding Statement bearing the stamp of the Registrar

Other Legal Entities

- 1.3 Constitution or other founding documentation in terms of which the legal entity is created
- 2 An organogram reflecting ownership and percentage ownership
- 3 A certified copy of a board minute or resolution detailing persons authorised to act on behalf of the company, close corporation or legal entity. Please appoint a principal company officer or member to act on behalf of the organisation for share dealing purposes
- 4 A list of authorised signatories together with specimen signatures and contact particulars on a company letterhead (Resolution)
- 5 Certified copies of the identity documents of Directors, authorised signatories and the CEO/Principal Officer (COR 39)
- 6 Service bills of all Directors/CEO/Principal Officer (COR 39)
- 7 A certified copy of a service bill (e.g. rates account/electricity bill or telephone bill) bearing the business' name and current physical address (or erf/stand number and suburb) dated within the preceding three months in order to verify the trade name and physical business address details
- 8 A certified copy of a document issued by SARS to verify the business' tax number and VAT number (where one has been issued). If a tax number or VAT number has not been issued, please confirm this in writing

Computershare (Pty) Ltd is an authorised Financial Services Provider and Participant regulated by the Financial Sector Conduct Authority and Strate Proprietary Limited.

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Required documentation (continued):

- 9 A certified copy of the following documentation for any shareholder who holds more than 25% of the voting rights of the company:

Individual

- 9.1.1 Identity document in the case of South African residents or passport in the case of non-residents
- 9.1.2 Contact details of the individual, specifically a valid e-mail address, telephone and mobile number

Companies

- 9.2.1 CM1/Cor14.1 Certificate of Incorporation and CM29 form bearing the stamp of the Registrar of Companies
- 9.2.2 Contact details of each of the directors, authorised signatories and CEO/Principal Officer (refer to point 6), each with their respective e-mail address, telephone and mobile numbers

Close Corporations

- 9.3.1 CK1/CK2 Founding Statement bearing the stamp of the Registrar
- 9.3.2 Contact details of each of the directors, authorised signatories and CEO/Principal Officer (refer to point 6), each with their respective e-mail address, telephone and mobile numbers

Other Legal Entities

- 9.4.1 Constitution or other founding documentation in terms of which the legal entity is created
- 9.4.2 Contact details of each of the directors, authorised signatories and CEO/Principal Officer (refer to point 6), each with their respective e-mail address, telephone and mobile numbers

Trust

- 9.5.1 Trust Deed and Letter of Authority issued by the Master of the High Court
- 9.5.2 Contact details of each of the trustees, each with their respective e-mail address, telephone and mobile numbers

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**Required documentation (continued):**

- 10 A certified copy of the organisation's bank statement to verify the bank account details. Alternatively, we will accept a signed and stamped letter from your bank on a letterhead confirming the bank account details. We regret that we may not accept third party banking details
- 11 Details of your non-controlled account at a South African Stockbroker. If you do not have a broker, please confirm in writing that you will appoint a stockbroker for trading purposes when necessary and that Computershare is not liable for trading on your behalf
- 12 Completed and signed Dividends Tax Beneficial Owner Declaration of Status form
- 13 Completed and signed FATCA/CRS form
- 14 Please sign and return the fee schedule as confirmation that you accept our fees
- 15 If you have not already provided us with a signed Custody and Settlement Agreement, please include this with the documentation