

# FICA REQUIREMENTS



INVESTMENTS

PROFESSIONAL PROVIDENT SOCIETY INVESTMENTS PROPRIETARY LIMITED ("PPS INVESTMENTS")  
CLIENT SERVICE CENTRE CONTACT DETAILS

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The Financial Intelligence Centre Act ("FICA") requires financial institutions, such as PPS Investments, to establish and verify the identities and residential addresses of their clients.

The documentation as set out below is required by us in order to comply with the obligations set out in FICA. Please note the requirements may differ depending on the type of entity investing.

## Please note:

**\*An official, South African identity document is considered to be a green, bar-coded identity document, or a copy of the smart identity card. Where either of these documents are not available, we require an acceptable explanation and one of the following types of documents: A valid passport, valid driver's license or valid temporary identity document. A certified copy is required if you do not have a financial adviser.**

**Please note, this is a prefillable form. Please print, sign where required and send to the details above for processing.**

## A Natural persons (South African citizens and residents)

Identity document e.g. ID book\* (A certified copy is required if you do not have a financial adviser)

Proof of residential address e.g. utility bill (not older than 3 months) reflecting the name and residential address

## B Natural persons (Foreign nationals)

Identity document e.g. valid passport or driver's licence (A certified copy is required if you do not have a financial adviser)

Written confirmation of residential address

## C Minor

Birth certificate of the child (A certified copy is required if you do not have a financial adviser)

Letter confirming legal guardianship (if applicable)

All documents as per natural person for the guardian or parent

## D Trust

Letters of Authority signed by the Master of the High Court

Trust deed or other founding document

Resolution specifying who is authorised to act on behalf of the Trust

Identity document(s) of the person(s) authorised to act on behalf of the Trust e.g. ID book\*

Written confirmation of residential address and contact particulars of the person(s) authorised to act on behalf of the Trust

Identity documents for the founder of the trust, all of the trustees and beneficiaries e.g. ID book\*

Written confirmation of the residential address and contact particulars for the founder of the trust, all of the trustees and beneficiaries

## E Close Corporation (CC)

Founding Statement or Certificate of Incorporation (CK1)

Amended Founding Statement (CK2) (if the member of the CC has changed)

Resolution specifying who is authorised to act on behalf of the Close Corporation

Proof of business address of the Close Corporation e.g. utility bill (not older than 3 months) reflecting the name and business address

Identity document(s) of the member(s) and authorised signatories of the Close Corporation e.g. ID book\*

Written confirmation of the residential address and contact particulars of the member(s) of the Close Corporation reflecting the name and residential address

Identity document(s) of the person(s) authorised to act on behalf of the Close Corporation e.g. ID book\*

## F.1 Company (private and unlisted public) - launched post 11 May 2011

The new Companies Act came into effect on 1 May 2011. For all companies incorporated prior to 1 May 2011, i.e. before the new Companies Act came into effect, the old forms will still apply, i.e. the old CM forms.

Those companies incorporated in terms of the new Companies Act, the new forms will apply. These are listed below as follows:

A copy of the Notice of Incorporation (CoR 14.1)  
A copy of the Certificate of Registration (CoR 14.3)  
Certificate of name change (CoR 14.3) where the company has changed its name  
Notice of registered office and postal address (CoR 21.1)  
Proof of business address of the company e.g. utility bill (not older than 3 months) reflecting the name of the company & the business address  
Resolution specifying who is authorised to act on behalf of the company as well written confirmation of the company's shareholding  
Identity documents of the persons managing the company, authorised signatories and individuals holding 25% or more of the voting rights  
Written confirmation of the residential address and contact particulars of the person(s) managing the company, authorised signatories and individuals holding 25% or more of the voting rights  
Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal person(s) holding 25% or more of the voting rights in the Company  
Written confirmation of business addresses and contract particulars of the legal person(s) holding 25% or more of the voting rights in the company 25% or more of the voting rights in the company

## **F.2 Company (private and unlisted public) - launched pre 11 May 2011**

Certificate of Incorporation (CM1)  
Certificate of change of name of company (CM9) (if applicable)  
Notice of Registered Office and Postal Address (CM22)  
Contents of Register of Directors, Auditors and Officers (CM29)  
Proof of business address of the Company e.g. utility bill (not older than 3 months) reflecting the name and business address  
Identity document(s) of the authorised signatories, person(s) managing the company and individuals holding 25% or more of the voting rights in the company  
Written confirmation of the residential address and contact particulars of the authorised signatories, person(s) managing the company and individuals holding 25% or more of the voting rights in the company  
Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal person(s) holding 25% or more of the voting rights in the Company  
Written confirmation of business addresses and contract particulars of the legal person(s) holding 25% or more of the voting rights in the company

## **G Partnerships**

Partnership agreement  
Identity documents of the natural persons who are partners (including en commandite and silent partners) e.g. ID book\*  
Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal persons who are partners (including en commandite and silent partners)  
Proof of registered and business addresses of the legal persons who are partners (including en commandite and silent partners) e.g. CM22, letterhead, utility bill (not older than 3 months) reflecting the name and business address  
Identity document(s) of the natural person(s) who exercise(s) executive control over the Partnership e.g. ID book\*  
Certificate of Incorporation, Trust Deed or Partnership Agreement of the legal person(s) who exercise executive control over the Partnership  
Resolution specifying who is authorised to act on behalf of the Partnership  
Identity document(s) of the person(s) authorised to act on behalf of the Partnership e.g. ID book\*

## **H Other legal persons**

Other legal persons as defined by law or created by South African statute (Pension and Provident Funds, Government agencies, Religious organisations, Educational organisations, Welfare organisations).

Founding statement or formal letterhead  
Proof of business address e.g. utility bill (not older than 3 months) reflecting the name and business address  
Resolution specifying who is authorised to act on behalf of the entity  
Identity documents of the person(s) authorised to act on behalf of the entity e.g. ID book\*  
Written confirmation of the residential address and contact particulars of the person(s) authorised to act on behalf of the entity

PPS Investments (Pty) Ltd, PPS Multi-Managers (Pty) Ltd, PPS Investment Administrators (Pty) Ltd and PPS Insurance Company Ltd are licensed financial services providers.  
PPS Management Company (RF) (Pty) Ltd is a licensed collective investment scheme manager.

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