

Annexure

Establishing and verifying the identity of a corporate entity

A legal person is defined in the FIC Act as any person, other than a natural person, that establishes a business relationship or enters into a single transaction with the firm and includes a person incorporated as a company, close corporation, foreign company or any other form of corporate arrangement or association but excludes a trust, partnership or sole proprietor.

Establish the identity of a legal person by requesting the required documents to prove the existence of that legal person and to understand who has the authority to bind the Company into entering into transactions on its behalf.

Entity name

Trading name if applicable

Registration number

Registered address (As reflected on the CIPC documents)

Business address

Postal address (If different)

Country of incorporation or domicile

Email address

Tel Number

Income Tax number

VAT number

Name of the person/s authorised to establish a business relationship or single transaction on behalf of the legal entity
(Please provide any of the following documents: Power of attorney, board resolution, court order or letter of authority)

Full name

ID/Passport number

Describe the nature of the business

Provide details about the entity's governance and ownership structure. (Provide an organogram if possible)

Indicate the number of persons who independently or together with another person, has a controlling ownership interest in the legal person. (5% or more of the shares with voting rights in a legal person is usually sufficient to exercise control of the legal person)

If the ownership interests do not indicate a beneficial owner, or if there is doubt as to whether the person with the controlling ownership interest is the beneficial owner, indicate the number of natural persons who exercises control of the legal person through other means, for example, persons exercising control through voting rights attaching to different classes of shares or through shareholders agreements

If no natural person can be identified who exercises control through other means, indicate the number of natural persons who exercises control over the management of the legal person, including in the capacity of an executive officer, non-executive director, independent non-executive director, director, or manager

What is the nature of the type of products and services offered by the entity?

Does the entity have any branches, subsidiaries or intermediaries outside South Africa?. If "Yes please provide more details

Yes No

Is the entity, any of its branches, subsidiaries or intermediaries domiciled in any of the countries listed below? If "Yes please indicate the relevant countries

Yes No

Algeria	Angola	Bulgaria	Burkina Faso	Cameroon	Cote d'Ivoire	Croatia	Democratic Republic of the Congo			
Haiti	Iran	Kenya	Korea	Lebanon	Mali	Monaco	Mozambique	Myanmar	Namibia	Nigeria
Philippines	South Sudan	Syria	Tanzania	Venezuela	Vietnam	Yemen				

Is the business involved in the cross border movement of funds or in cross border operations?

Yes No

If "yes" please provide details of the cross border activities as well as all countries involved.

Does your business activities involves transactions in large amounts of cash?

Yes No

if “Yes” provide details of the type of cash transactions.

Does your products or business activities allow for payment to or from third parties? **Yes** **No**

Does your products or business activities provide for anonymity? **Yes** **No**

Does your products and services have crypto assets or new technology exposure? **Yes** **No**

Does the entity have any formal or informal arrangements with family or close associates acting as nominee shareholders or directors. If “Yes” please provide details **Yes** **No**

Does the entity make use of shell and/or shelf companies, front company, legal entities with ownership through nominee shares or bearer shares, control through nominee and corporate directors, legal persons or legal arrangements, splitting company incorporation and asset administration over different countries, all without any apparent legal or legitimate tax, business, economic or other reason. If “Yes” please provide details **Yes** **No**

Is the entity an Accountable Institution as listed in Schedule 1 of the Financial Intelligence Centre Act? If “Yes” please indicate the type of Accountable Institution **Yes** **No**

Bank Casino Credit provider Crypto asset service provider Dealer in Foreign Exchange Estate Agent Financial Services Provider High-value goods dealer Ithala Development Finance Corporation Limited Legal practitioner Money Remitter Mutual Bank The South African Mint Company The South African Post Bank Limited Trust or company service provider Other

Please describe the type of services you seek from our firm, and also the purpose for which the service is sought.

Will you require our firm to perform the services in terms of a single transaction (once-off only) or in terms of a business relationship (more than one transaction over a certain period of time)?

Details about the source of the funds which you expect to use in concluding business with our firm

PRIVACY STATEMENT

Our firm takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and our firm's privacy policy. It is important to us that you understand how we obtain, process, store, and share your information. By submitting any personal information to our firm, you provide consent to the processing and sharing where applicable of your personal information and/or that of your children or children that you have legal guardianship over (if applicable) as set out in the Privacy Policy. Please do not submit any personal information to our firm if you do not agree to any of the provisions of the Privacy Policy. If you do not consent to the provisions of the Privacy Policy, or parts thereof, we may not be able to provide our products and/or services to you. Please request our firm's privacy policies from our information officer.

I, _____ in my capacity as _____
hereby declare the following:

- That all information provided in this confirmation is true, accurate and complete in every aspect.
- That where this confirmation is signed in a representative capacity, I have the legal authority to do so.
- That where any of the information provided in this confirmation change, I will inform you without delay.
- That I provide permission for you to perform the necessary third-party checks against the UNSC and TFS lists (including checks regarding Domestic and Foreign Politically Exposed persons), and that I have obtained the necessary approval from the individuals for you to do so.

Signature _____

Date (dd/mm/yyyy) _____ / _____ / _____

For office use only

Documents used to verify the identity of a corporate entity

Share register Share certificates Shareholders agreements Notice of incorporation Registration certificate
Founding Statement and Certificate of Incorporation (CK1) Amended Founding Statement (CK2), if applicable Company organogram
Notice of Registered Office and Postal Address Website Official document issued by a foreign authority for recording the incorporation of companies of the country of origin bearing the registered name and number Municipal rates and taxes invoice Lease or rental agreement Telkom or Cellphone account Mortgage statement from a Bank Short term insurance contract or statement Other _____

Sources of information used to corroborate the identity of a corporate entity

Department of Home Affairs Companies and Intellectual Property Commission (CIPC) South African Revenue Service
eNaTIS Master of the High Court Other _____

SCRUTINISING CLIENT INFORMATION AGAINST TARGETED FINANCIAL SANCTIONS LISTS

All prospective and current clients must be scrutinised against the TFS lists

To scrutinise the TFS lists click here: <https://tfs.fic.gov.za/Pages/Search>

Is the entity listed on the Targeted Financial Sanctions List?

Yes **No**

Name of employee responsible for screening the entity

Signature

Date of screening (dd/mm/yyyy) / /