

FICA

Fax, Post or email to:
Gryphon Collective Investments (RF) (Pty) Ltd
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Information required by the Financial Intelligence Centre Act, No. 38 of 2001

SA COMPANY OR FOREIGN COMPANY

In terms of the Financial Intelligence Centre Act, No 38 of 2001 (FICA) all Financial Institutions have to identify and verify client information. The information has to be provided by all prospective clients before entering into a business relationship or concluding a single transaction.

Kindly complete the applicable sections set out below, being additional information required in terms of FICA. The completed form must accompany the application form together with all requested copies of documentation, to enable us to process the application.

COPIES OF THE FOLLOWING DOCUMENTATION MUST BE SUBMITTED WITH THE APPLICATION FORM:

Unlisted SA Company: A **certificate of Incorporation (CM1/CoR 14.3)**
Memorandum & Articles of association / Memorandum of Incorporation (**MOI**);
Proof of **Registered Office** and Postal Address (**CM22/CoR14.3 or COR21**, where applicable)

Directors: Copy of bar-coded **ID** and/or **passport** of each of the directors
Verification of **residential address** of each of the **directors** (Not older than 3 months)

Authorised Signatories: Copy of bar-coded **ID** and/or **passport** of each of the **authorised signatories**
Copy of letter of **Authority/Power of Attorney/Appointment** of the **authorized signatories**
Verification of **residential address** of each of the **authorised signatories** (Not older than 3 months)

Shareholders: Due diligence for **shareholders**, holding 25% or more equity shares
- If individuals, as per individual requirements;
- If legal entities, as per requirements for entity type to level of ultimate beneficial owner

Other: **Bank Statement or cancelled cheque** to verify banking details, alternatively, supply bank confirmation
SARS document containing details of the **income tax number**, if issued
Letterhead of Company reflecting the Company trading name and business address details **or a recent utility bill/account statement** (less than 3 months old)

Foreign Company: Official documentary proof of legal existence, if foreign company;
Certified copies of an official document issued by an authority for recording the incorporation of companies of the country of incorporation of the foreign company, witnessing its incorporation and bearing its name and number of incorporation and the address where it is situated for purposes of its incorporation
Information regarding **Directors, Authorised Signatories, Shareholders and Other** as well

Listed Company: Proof of **Registered Name (CM22/CoR14.3 or COR21**, where applicable) and **Registration number**
Proof of **listing on exchange**
Copy of letter of **Authority/Power of Attorney/Appointment** of the **authorized signatories**

GENERAL

NB: Type of Business of Company:

Short Term Insurance Co.; Long-Term Insurance Co. or Linked-Investment Service Provider

SECTION A – COMPANY REPRESENTATIVE

Complete **details concerning the CEO/Manager** of the company:

CEO / Manager of the Company

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

SECTION B – AUTHORISED INDIVIDUALS

Complete details concerning each natural **person who is authorised to act** on behalf of the company (SA or Foreign):

Authorised / Mandated Person No 1

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary			Business	
	Cell			Fax	
E-mail Address					

Authorised / Mandated Person No 2

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary			Business	
	Cell			Fax	
E-mail Address					

SECTION C – SHAREHOLDERS

Complete details concerning Shareholders holding 25% (or more) of the voting rights at a general meeting of the company (SA or Foreign) concerned - (Not Applicable to Companies listed on the JSE)

If shareholder is a Natural Person: Attach **certified copy by an independent Commissioner of Oaths** of Identity Document or passport and utility bill verifying the residential address

Shareholder No 1

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary			Business	
	Cell			Fax	
E-mail Address					

If shareholder is a SA Company / CC:

Attach **Original or certified copies by an independent Commissioner of Oaths** of:

If company: Certificate of Incorporation (**CM1/CoR14.3**)
 Notice of Registered Office and Postal Address (**CM22/CoR21**)
 If CC: The most recent Founding Statement and Certificate of Incorporation (**CK1, CK2 and CK2A**)

Shareholder No 1

Trade name:			
Trading/Head office address			
Attach Letterhead of CC/Company reflecting the CC/Company trading name and business address details or a recent utility bill/account statement (less than 3 months old)			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If shareholder is a Foreign Company:

Attach **certified copy by an independent Commissioner of Oaths** of official document issued by an authority for recording the incorporation of companies of the country of incorporation of the foreign company, witnessing its incorporation and bearing its name and number of incorporation and the address where it is situated for purposes of its incorporation.

Shareholder No 1

Name under which it is incorporated:			
Number under which it is incorporated:			
Address for purposes of incorporation:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If shareholder is an Other Legal Person:

(E.g. Pension/Provident fund, social security funds, schools, co-operatives, deceased estates, insolvent estates, sole Proprietors etc.) Attach **certified copy by an independent Commissioner of Oaths** of constitution or other founding document.

Shareholder No 1

Name of legal person:			
Type of Legal Entity:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If shareholder is a Partnership: Attach **certified copy by an independent Commissioner of Oaths** of partnership agreement.

Shareholder No 1

Name of partnership:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If shareholder is a Trust:

Attach **Original or certified copies by an independent Commissioner of Oaths** of:

- The **trust deed** or other founding document;
- In the case of a trust created in the Republic, the authorization given by the Master of the High Court in terms of section 7 of the Trust Property Control Act, 1988, (Act No. 57 of 1988) to each trustee of the trust to act in that capacity;
- In the case of a trust created outside the Republic, an official document, which reflects relevant particulars, issued by an authority in the country where the trust is created which administers or oversees laws relating to, trusts in that country.

Shareholder No 1

Name of Trust:			
Number of the trust:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Remember: All the details as per the above for each mandated authorized person / shareholder in the above categories should be supplied for additional authorized persons / shareholders as per attached.

SIGNATURE OF INVESTOR

The Client warrants that all statements made and information particulars supplied by him/her/it or on his/her/its behalf in this addendum to the application form are true and correct.

Signed at: _____

Date: _____

Signature of Investor (Authorized/Mandated official)

SIGNATURE OF FINANCIAL / INVESTMENT ADVISOR (IF ANY)

The Financial / Investment Adviser warrants that he/she has taken reasonable steps to establish and verify the identity of the client and any other person required/involved in the establishment of the business relationship or single transaction.

Name of Financial / Investment Advisor: _____

Financial / Investment Advisor code: _____

Signature of Financial / Investment Advisor: _____

Date: _____

AUTHORISED INDIVIDUALS**Authorised / Mandated Person No 3**

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

Authorised / Mandated Person No 4

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

Authorised / Mandated Person No 5

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

If 25% (or more) shareholder is a Natural Person:

Shareholder No 2

Surname				Title	
First Names				Nationality	
Date of birth			ID/Passport Number		
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

Shareholder No 3

Surname				Title	
First Names				Nationality	
Date of birth		ID/Passport Number			
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

Shareholder No 4

Surname				Title	
First Names				Nationality	
Date of birth		ID/Passport Number			
Residential Address					
				Postal Code	
Telephone Numbers	Primary		Business		
	Cell		Fax		
E-mail Address					

If 25% (or more) shareholder is a SA Company / CC:

Shareholder No 2

Trade name:			
Trading/Head office address			
Attach Letterhead of CC/Company reflecting the CC/Company trading name and business address details or a recent utility bill/account statement (less than 3 months old)			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 3

Trade name:			
Trading/Head office address			
Attach Letterhead of CC/Company reflecting the CC/Company trading name and business address details or a recent utility bill/account statement (less than 3 months old)			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 4

Trade name:			
Trading/Head office address			
Attach Letterhead of CC/Company reflecting the CC/Company trading name and business address details or a recent utility bill/account statement (less than 3 months old)			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

**If 25% (or more) shareholder is a Foreign Company:
Shareholder No 2**

Name under which it is incorporated:			
Number under which it is incorporated:			
Address for purposes of incorporation:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 3

Name under which it is incorporated:			
Number under which it is incorporated:			
Address for purposes of incorporation:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 4

Name under which it is incorporated:			
Number under which it is incorporated:			
Address for purposes of incorporation:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

**If 25% (or more) shareholder is an Other Legal Person:
Shareholder No 2**

Name of legal person:			
Type of Legal Entity:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 3

Name of legal person:			
Type of Legal Entity:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 4

Name of legal person:			
Type of Legal Entity:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If 25% (or more) shareholder is a Partnership:**Shareholder No 2**

Name of partnership:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 3

Name of partnership:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 4

Name of partnership:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

If 25% (or more) shareholder is a Trust:**Shareholder No 2**

Name of Trust:			
Number of the trust:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 3

Name of Trust:			
Number of the trust:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	

Shareholder No 4

Name of Trust:			
Number of the trust:			
Address:			
Contact particulars: Dialing code:		Number:	
Fax particulars: Dialing code:		Fax number:	