

# ACCEPTABLE FICA DOCUMENTS

The Financial Intelligence Centre Act (FICA) was implemented by the South African government to help prevent illegal financial activity. As a necessary part of this Act, the identity of any customer participating in any financial transaction through 22 seven has to be verified. To confirm your identity, we need an acceptable copy of the following documents

## INDIVIDUAL

### **A valid document showing proof of identity, clear copy (preferably colour)**

Full Names (not initials)

- South African green bar-coded ID book
- South African ID smart-card
- Passport

### **A valid document showing proof of residential address**

\*The document must not be older than 3 months.

\*\*The document must not be older than 12 months.

- Utility bill in your name (e.g. water, electricity, rates and taxes) \*
- Utility bill in your name and showing the legal description of the property (erf number) \*  
Levy statement \*
- Bank or mortgage statement (including private banks) \*
- Retail account statements from retailers registered in terms of Financial Advisory and Intermediary Services Act, No. 37 of 2002 ('FAIS') \*
- Telkom or other fixed-line or cell phone statement \*
- MultiChoice Dstv statement \*
- Long or short-term insurance policy document \*\*
- Valid SABC television license \*\*
- Valid SA motor vehicle license \*\*
- SARS (official) documentation \*\*
- Lease (rental) agreement \*\*
- Investment (annual) statement, from a Financial Service Provider (FSP) in terms of the Collective Investment Schemes Control Act (e.g.: Unit Trust Investments) \*\*

- Investment (annual) statement, from a Linked Investment Service Provider (LISP) in terms of the Financial Advisory and Intermediary Services Act, No. 37 of 2002 ('FAIS') and Stock Exchange Control Act \*\*

If you don't have any of the above documents, a Sworn Affidavit from the owner of the residence confirming you live with them will be accepted. The Affidavit provided must be signed and stamped by a Commissioner of Oaths and be accompanied by a utility bill in the name of the owner of the residence, as well as a copy of the identity document of the owner of the residence.

### **Proof of bank**

We require a proof of bank in the form of a bank statement that is no older than 3 months.

Please note: The proof of bank that you supply must be from the account that you intend to use to deposit funds to and from your trading account.

The proof of bank must include:

- Your name and surname
- Your postal or residential address
- Banking details including your account number (verified by your bank)
- Issue date within the last 3 months

**No credit card statements or cancelled cheques will be accepted**

### **COMPANY**

- Company registration documents
- CM1- Certificate of Incorporation
- CM2- Memorandum of Association
- CM22- Notice of Registered Office
- If applicable, CM9 or Certificate of Recognition (CoR) (CoR 18.1 and 18.3 for conversion from CC and CoR 15.1 for name changes)
- Latest CM29 - Contents of Registrar of Directors, Auditors and Officers Business name if different from registered name
- Proof of address (less than three months old)
- Copy of SARS document confirming Income tax / VAT registration number for company

- Resolution on company letterhead signed by all directors nominating authorised signatory / representative
- Copy of bank statement confirming company banking details (less than three months old)
- For the authorised signatory / representative and / or CEO, each director and each person or corporation with shareholding of 25% or more in the company, we require the following:
  - Copy of ID
  - Proof of address (less than three months old)

### TRUST

- Copy of Trust deed (if applicable, any deeds of amendment of Trust Deed)
- Copy of Letter of Authority
- Copy of SARS document confirming Income tax / VAT registration number for trust
- Resolution signed by all Trustees nominating authorised signatory / representative
- Copy of bank statement confirming trust account banking details (less than three months old)
- For the authorised signatory / representative, each trustee, beneficiary and founder of the trust we require the following:
  - Copy of ID
  - Proof of address (less than three months old)

### MINOR

- Copy of the birth certificate (abridged or unabridged)
- In the case of a guardian, provide documents confirming legal guardianship, download and complete the form for Acting on Behalf of a Minor.
- Copy of SARS document confirming income tax number of minor
- Proof of address less than three months' old
- As the parent / guardian, you may provide a declaration confirming that:
- You share an address with the minor. Download the Joint Address Declaration.

#### **The minor does not have a tax number**

- Copy of ID document (SA Citizens) / Passport (Foreign Nationals) of parent / guardian
- Copy of bank statement confirming parent / guardian banking details (less than three months old)

## **ESTATE LATE**

For the deceased we require the following:

- Certified copy of death certificate
- Copy of ID
- Bank details of estate late account
- Resolution (if more than one executor)
- For the executor/s we require the following:
  - Copy of ID
  - Certified letter of Executorship / Authority
  - Proof of address (less than three months old)

## **CLOSE CORPERATION**

- Copy of Founding Statement (CK 1) and Certificate of Incorporation (if applicable, CK2 for any amendments to the Founding Statement)
- Business address if different from registered address
- Proof of address of the company (less than three months old)
- Copy of SARS document confirming Income tax / VAT registration number for the CC
- Resolution on the CC letterhead signed by all members nominating one signatory / representative
- Copy of bank statement confirming bank details of the company (less than three months old)
- For the authorised signatory / representative and each member we require the following
  - Copy of ID
  - Proof of address (less than three months old)

## **PARTNERSHIPS**

- Copy of partnership agreement

- Proof of address (less than three months old)
  - Resolution signed by all members nominating authorised signatory / representative
  - Copy of SARS document confirming Income tax / VAT registration number for the partnership
  - Copy of bank statement confirming banking details of partnership account (less than three months old)
  - For the authorised signatory / representative and each partner, we require the following:
    - Copy of ID
    - Proof of address (less than three months old)
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