

CHECKLIST



FNB Investor Services Proprietary Limited ("Administrator"), Registration Number 2011/139123/07, is an authorised administrative financial services provider (FSP Number 44341) and is the administrator of this investment.

Instructions

This checklist contains details of the information that must be supplied, together with the relevant forms, in order to proceed with an investment with the FNB Investor Platform.

- I have read and understood the terms and conditions available on our website at www.asburtoninvestments.com or from our client service team on 0860 274 287.
- For lump sum investments I have provided proof of electronic transfer of funds.
- I have provided proof of my bank account details either with a cancelled cheque; or relevant bank statement; or letter on bank's letterhead or with bank stamp.
- I have provided FICA documents as per the below requirements.

Annexure A - FICA requirements

Individuals (including sole proprietors) and persons acting on behalf of individuals

SA resident and/or SA citizen

Provide one of the following:

- SA barcoded green ID book
- SA driver's licence accompanied by a letter of explanation as to why no SA barcoded green ID book is provided
- SA passport accompanied by a letter of explanation as to why no SA barcoded green ID book is provided
- SA temporary identity document accompanied by a letter of explanation as to why no SA barcoded green ID book is provided
- Smart card identification document issued by Department of Home Affairs

SA resident and/or SA citizen living abroad

- SA barcoded green ID Book and/or valid SA passport

Acceptable proof of residential address, provide one of the below (must reflect actual address)

- Rates and taxes or utilities (water, electricity, gas etc.) account (less than three months old)
- Payslip/Salary advice (less than three months old)
- Telkom account (less than three months old)
- Mobile phone account (less than three months old)
- Bank statement (less than three months)
- Mortgage statement (less than three months old)
- Investment statement from investment provider (share portfolio or unit trusts) (less than three months old)
- Rental/Lease agreement (less than one year old)
- SARS document (not extracted from e-filing but produced by SARS to be used for tax purposes) (e.g. IT12S, IRP5, IT3b, etc.) (less than one year old)
- Correspondence from body corporate/share block scheme (less than three months old)
- Documentation from an insurance or assurance company (i.e. life assurance, short term insurance, health insurance/medical aid, funeral policies, etc.) (less than one year old)
- Motor vehicle license documentation (less than one year old)
- Television licence documentation (less than one year old)
- DSTV statement (less than three months old)
- eToll statement (less than three months old)
- Letter from the Municipal official for the rural areas (a dated and stamped copy of a tribal authority letter confirming residence by the Chief) (less than three months old)
- Letter from employer confirming that the person resides on the employer's property (including physical address details and copy of ID of the employer). This is also acceptable for domestics who are employed in terms of a contract of employment and proof of registration with UIF (less than three months old)
- Traffic fine with registered address (less than two months old)
- A report compiled in relation to a visit to the physical address of the client by an employee, or agent of the company, completed and signed by the employee, reflecting the full names of the client, the physical address of the client, the date of the visit and the full names of the employee that visited the physical address of the client (less than one year old). Confirmation of joint address – copy of spouse or landlord's proof of physical address, ID and letter confirming joint address. Confirmation of residence from a retirement village/home on letterhead

Foreign Nationals

For natural persons

- Natural persons passport
- National identity book
- Driving license

If there is any party acting on behalf of the client then:

- Copy of power of attorney
- Copy of court order
- Letter of executorship
- ID of person acting on behalf of client

For legal persons entities

- For partnerships: A copy of the partnership agreement
- For corporations: A copy of the Certificate of Incorporation or the Memorandum and Articles of Association
- Proof of registration with the Companies and Intellectual Property Commission (CIPC)
- For Trusts: Either a copy of the Trust deed and any subsidiary deed evidencing the appointment and powers of trustees, or certified copies of extracts from the deeds

Trusts

- Trust deed/Last will and testament
- Letter of authority from The Master of the High court (SA trust)
- Resolution by all trustees appointing authorised signatories
- Authorised signatory list including specimen signatures
- Proof of banking details – as per individual requirements
- Completed related party information, copy of ID and proof of residential address (as above) for founder, beneficiaries and trustees

Agents acting on behalf of others

- As per individual requirements (including proof of residential address)
- Letter of executorship
- Power of attorney
- Court order
- In respect of Minors - Unabridged Birth Certificate/Proof of Guardianship

Blocked rand accounts

A letter from the authorised dealer on their letterhead, clearly specifying:

- The client name and investment number
- The blocked rand account details (account number, branch details and type of account)
- The authorised dealer's contact person and contact details

Foreign companies

- Incorporation documents from the foreign regulator verifying registered name, registration number and registered address
- A document to verify business address (less than three months old)
- Names of all shareholders holding 25% or more of voting rights at an annual general meeting – as per individual requirements
- Board resolution authorising the investment
- Authorised signatory list including specimen signatures
- Completed related party information and identity document for the manager (principle executive officer) and all shareholders that hold more than 25% voting rights and authorised signatories

South African companies

- Forms CM1/CoR15.1 (certificate of incorporation/registration certificate)
- Forms CM9 (certificate of change of name of company) (if applicable)
- CM22/CoR21.1 (notice of registered office and postal address)
- Board resolution authorising the investment
- Authorised signatory list including specimen signatures
- Names of all shareholders holding 25% or more of voting rights at an annual general meeting
- Forms (CM29/CoR 39) (list of directors)
- Completed related party information and identity document for the manager (principle executive officer), all shareholders that hold more than 25% voting rights and authorised signatories

Close corporations

- CK1 and CK2 (founding statement and certificate of incorporation)
- CK2A (amended founding statement)
- Resolution of the members authorising the investment
- Authorised signatory list including specimen signatures
- List of members
- Completed related party information and identity document for all members and authorised signatories

Partnerships (including joint ventures)

- Partnership agreement (or other founding document that gives rise to the partnership or a letter on a letterhead from the partners confirming its existence)
- Resolution of the partners authorising the investment
- Authorised signatory list including specimen signatures
- List of all partners
- Completed related party information and identity document for all partners and authorised signatories

Unincorporated entities

- Founding documents (subject to approval)
- Authorised signatory list including specimen signatures
- A document to verify business address (less than three months old)
- Completed related party information and identity document for the authorised signatories

Other Legal entities

(includes all non-individual clients that cannot be categorised into any of the other categories of clients that are defined in the Regulations to FICA, which may include Pension & Provident Funds, Medical funds, CIS funds, Hedge funds, Government agencies, Religious organisations, Educational organisations, Welfare organisations).

- Certified copy of Constitution or Founding document of the entity/organisation
- Certified copy Registration certificate (reflecting fund registration number and fund name)
- Certified copy of trade name and physical address of the entity/organisation
- Certified copy of South African Income Tax Registration number, by way of an official SARS document reflecting the entity's full name and registration number, such document that is not older than 12 months and must be evidenced with an official SARS stamp
- Proof of banking details, i.e. bank statement on bank letterhead, bank printed statement or a processed cheque, no older than three months
- Certified copy of resolution giving the mandated officials the necessary authority to act on behalf of the entity
- Certified copy of residential address of each applicable party, authorised signatory and Trustees
- Certified copy of South African green bar-coded ID/new smart card ID or valid passport for each authorised signatory and all mandated Trustees
- Certified copy of letter of Authority/Power of Attorney/Appointment (if applicable)
- Certified copy of specimen signatures of all authorised signatories

Annexure B: Related party information

This section must be completed by all controlling persons/entities of the account holder, defined as those persons or entities that effect ultimate effective control over the business. Generally controlling persons include:

Companies:

- 1. Directors
- 2. Shareholders (holding 25% or more)
- 3. Members
- 4. Partners

Trusts:

- 1. Trustee
- 2. Founder
- 3. Beneficiaries (where specifically defined)
- 4. Protector
- 5. Settlor

First name and surname/Registered name	Relationship (e.g. trustee, director)	Identity/Registration number
A		
B		
C		
D		
E		

In respect of "A" in the table above, the following must be completed:

Related party nature of person:

- Individual
- Listed company
- Unlisted company
- Close corporation
- Trust
- Non-profit organisation
- Sole proprietor
- Partnership
- Retirement Fund
- Government or wholly government owned entity

Other (specify): _____

Physical address: _____

Country: _____ Area code: _____

Country of residence/operations: _____

Country of citizenship/s: _____

Country of birth/incorporation/organisation: _____

Contact number: Mobile number:

Tax registrations/obligations:

Country: _____ Tax registration number:

Country: _____ Tax registration number:

Country: _____ Tax registration number:

Country: _____ Tax registration number:

