

# BSEC Derivative Brokers (Pty) Ltd

Reg No. 2007/025860/07

## PRIVATE COMPANY / CLOSE CORPORATION AS CLIENT

<b>1. REGISTERED DETAILS</b>										
<b>Registered name</b> (or name under which incorporated if a foreign company)										
<b>Registration number</b> (or number under which incorporated if a foreign company)					/					
<b>Trade name</b> (in the case of a foreign company, the trade name in South Africa <u>and</u> the country of incorporation is required)										
<b>Income tax registration number</b> , if such has been issued to the company / close corporation										
<b>Physical business address</b> (in the case of a foreign company, the physical business address in South Africa <u>and</u> the country of incorporation is required)										
	Code									
<b>Head office address</b> (if applicable, i.e. where the company / close corporation operates from multiple offices)										
	Code									
<b>Registered address</b> (or address where it is situated for purposes of its incorporation if a foreign company)										
	Code									
<p><b>Attach</b> a copy of the most recent version of the following documents bearing the stamp of the Registrar of Companies and signed by the company secretary (or in respect of a foreign company, equivalent official document(s) issued by the relevant authority in the country of incorporation):<sup>Note 1</sup></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Incorporation (CM 1/ CK 1) or equivalent document or Amended Founding Statement (CK 2)</li> <li><input type="checkbox"/> Certificate of name change (if applicable)</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Notice of Registered Office and Postal Address (CM 22) or equivalent document</li> </ul>										
<p>Note 1</p> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> <p><b>In the event that the documentation does not bear the stamp of the Registrar of Companies (or equivalent in the country of incorporation) and is not signed by the company secretary, the relevant information needs to be verified independently with the Registrar of Companies (or equivalent) and a record thereof retained e.g. acceptable electronic verification (e.g. CIPRO in South Africa).</b></p> </div>										
<p><b>Attach</b> any <u>one</u> of the following documents, as appropriate, reflecting the company's/close corporation's trading name and the company's/close corporation's business address and head office address (in South Africa and/or the country of incorporation), as applicable:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> An original company letterhead; or</li> <li><input type="checkbox"/> A water and electricity bill (less than 3 months old); or</li> <li><input type="checkbox"/> A bank Statement (less than 3 months old); or</li> <li><input type="checkbox"/> A lease or rental agreement; or</li> <li><input type="checkbox"/> A municipal rates and taxes invoice (less than 3 months old); or</li> <li><input type="checkbox"/> A telephone account (less than 3 months old); or</li> <li><input type="checkbox"/> An official tax return (less than 1 year old)</li> </ul>										

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#### 2. TAX DETAILS

The income tax and vat registration numbers (if issued) are required.

- Attach** any official document issued by the South African Revenue Service (SARS) bearing the income tax and VAT registration numbers (if applicable).

*Tax information is not currently a mandatory requirement although it is anticipated that it will become mandatory. Until such time, it is recommended that the information be requested from the prospective client but that no verification document is currently required.*

#### 3. ADDITIONAL INFORMATION TO BE OBTAINED IN THE CASE OF NON FACE TO FACE CLIENTS

The following documentation will be acceptable:

- SA Residents: Original certified copies of the documentation, certified by a Commissioner of Oaths; **Verify** the name and address of the person by conducting an electronic enquiry via an information service such as a recognised credit bureau or similar entity; **Verify** the name and address of the person with reference to a local or national telephone directory.
- Non-SA Residents: Original certified copies of the documentation, certified by a Notary Public.

#### 4. CLIENT PROFILE

<input type="checkbox"/> Nature of business being conducted by the client from which it derives the majority of its income.	
<input type="checkbox"/> Purpose and reason for establishing a relationship/ opening and maintaining an account.	
<input type="checkbox"/> The source of funds which are expected to be used in concluding the single (once-off) transaction or transactions in the course of the business relationship.	

#### 5. CONTACT DETAILS OF COMPANY/CLOSE CORPORATION

<b>Contact name</b>											
<b>Telephone</b>				-							
<b>Fax</b>				-							
<b>email</b>											

#### 6. RELATED PARTIES (OWNERS AND CONTROLLERS)

The following are related parties to the company/close corporation. It is mandatory to identify and verify these parties by completing the **correct kyc questionnaire in respect of** :

- The principal executive officer of the company (or i.r.o a foreign company, the principal executive officer in respect of its affairs in South Africa)
- Each person who purports to be authorised to establish a business relationship or enter into a transaction with BSEC Derivative Brokers on behalf of the company
- All authorised signatories
- Each shareholder holding 25% or more of the voting rights at a general meeting of the company

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<b>7. PROOF OF AUTHORITY OF INDIVIDUALS</b>
<p><b>Attach one</b> of the following documents providing written confirmation that the authorised signatory and/or person seeking to establish the business relationship or conclude the single (one-off) transaction on behalf of the company / close corporation is authorised to act on behalf of the company / close corporation:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Board of Director's resolution authorising the opening of an account/establishment of the business relationship/ conclusion of the transaction and conferring authority on those who will establish the business relationship/ conclude the single transaction; or</li> <li><input type="checkbox"/> Power of Attorney; or</li> <li><input type="checkbox"/> Mandate; or</li> <li><input type="checkbox"/> Other legal document specifying those authorised to establish the business relationship/conclude the transaction/ operate the account. Specify document. ....</li> </ul>

<b>8. NOTE ON CERTIFIED DOCUMENTATION</b>
<p>Legally certified documentation, that is documents certified by a Commissioner of Oaths or Notary Public, may be accepted. Certified documents must be originals. Faxes and copies of certified documents are <u>not acceptable</u>.</p>

<b>9. CASH DEPOSITS</b>
<ul style="list-style-type: none"> <li>a). Please note that BSEC Derivative Brokers may not receive any cash deposits from or on behalf of clients, only electronic transfer of funds in order to comply with FICA;</li> <li>b). All cash deposits from or on behalf of clients will be reported to FIC.</li> </ul>

**FOR INTERNAL PURPOSES ONLY (To be completed by the person (s) who obtains the KYC information and documentation from the client and the person verifying the information, respectively.**

<b>PART A – To be completed by person delegated by the Compliance Officer to obtain the KYC information and documentation from the prospective client.</b>	
<b>Name</b>	
<b>Signature</b>	
<b>Date</b>	

<b>PART B – To be completed by Compliance Officer as proof of review and approval of adherence to FICA legislation.</b>	
<b>Name</b>	
<b>Signature</b>	
<b>Date</b>	