

BSEC Derivative Brokers (Pty) Ltd

Reg No. 2007/025860/07

PRIVATE SOUTH AFRICAN CITIZEN & RESIDENT AS CLIENT

1. REGISTERED DETAILS										
Full name of natural person										
Date of birth										
Identity number										
Income tax registration number, if such has been issued to that person										
Residential address										
	Code									
Telephone				-						
Fax				-						
email										
Attach a copy of the most recent version of the following documents: <input type="checkbox"/> An identification document; or <input type="checkbox"/> Passport										
Attach any <u>one</u> of the following documents for the client, as appropriate, reflecting the name and residential address, as applicable: <input type="checkbox"/> A water and electricity bill (less than 3 months old); or <input type="checkbox"/> A bank Statement (less than 3 months old); or <input type="checkbox"/> A lease or rental agreement; or <input type="checkbox"/> A municipal rates and taxes invoice (less than 3 months old) if P O Box, must have customer name, erf no and township; or <input type="checkbox"/> A telephone account (less than 3 months old).										
2. TAX DETAILS										
The income tax and vat registration numbers (if issued) are required. <input type="checkbox"/> Attach any official document issued by the South African Revenue Service (SARS) bearing the income tax and VAT registration numbers (if applicable). <i>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.</i>										

3. United Nations listing
<input type="checkbox"/> Checked against UN listing to ensure not listed. (https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list)

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4. ADDITIONAL INFORMATION TO BE OBTAINED IN THE CASE OF NON FACE TO FACE CLIENTS	
The following documentation will be acceptable: <ul style="list-style-type: none"> <input type="checkbox"/> 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. <input type="checkbox"/> Non-SA Residents: Original certified copies of the documentation, certified by a Notary Public. 	

5. 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.	

6. CASH DEPOSITS	
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; b). All cash deposits from or on behalf of clients will be reported to FIC.	

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.

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

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