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FICA CHECKLIST

Individual

- Copy of ID document (SA Citizens) / Passport (Foreign Nationals)
- Proof of address less than three months old (for example utility bill, store account statement, bank statement with address, DSTV account, municipal letter)
 - Should you not have proof of address in your name, you may provide a declaration by a third party confirming that you share an address with them and provide the third party's proof of ID and proof of address (less than three months old).
Download and complete the Joint Address Declaration.
- Copy of SARS document confirming income tax number
- Copy of bank statement confirming individual banking details (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)

Non-Resident Individual

- Copy of foreign ID / passport
- Proof of address less than three months old
 - Should you not have proof of address in your name, you may provide a declaration by a third party confirming that you share an address with them and provide the third party's proof of ID and proof of address (less than three months old).
Download and complete the Joint Address Declaration.

- Document confirming tax registration number
 - If you or any controlling persons associated with the investment have a tax number, tax residency or nationality in a country other than South Africa, please send the completed Foreign Account Tax Self-certification (FATCA) form
- Copy of bank statement confirming foreign bank details of individual (less than three months old)
 - For investment products (i.e. retirement annuity, equity linked living annuity, voluntary investment plan, tax free investment plan and endowment), we do not make payment to non-resident bank accounts.
 - For stockbroking products (i.e. local shares, offshore shares and ETPs), we will be able to accommodate payments to non-resident bank accounts

Estate Late

- For the deceased we require the following:
 - Copy of Death Certificate
 - Copy of ID
- Bank details of Estate Late account
- Copy of SARS Document confirming the Income Tax Number of the Deceased Estate (Estate must be registered with SARS as a Deceased Estate)
- Resolution (if there is more than one executor)
- For the executor/s we require the following:
 - Copy of ID
 - Copy of Letter of Executorship / Authority
 - Proof of address (less than three months old)
 - Notice of death and police report where cause of death was not due to natural causes.

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)

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)

Non-Resident Company

- Copy of foreign company registration documents
- Proof of address (less than three months old)
- Document confirming tax registration number for company
- Resolution signed by all directors nominating one signatory / representative
- Copy of bank statement confirming foreign bank details of the company (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 / passport
 - Proof of address (less than three months old)

Close Corporation

- 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)

Partnership Account

- 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)

Unincorporated Entities (e.g. Clubs, Churches)

- Copy of document confirming list of all active members
- Resolution signed by all members nominating authorised signatory / representative (a note to be made of bank details and possible tax implications for the nominated person)
- Proof of address (less than three months old)
- Copy of SARS document confirming Income tax / VAT registration number for the entity
- Copy of bank statement confirming banking details of partnership account (less than three months old)
- For the authorised signatory / representative and each member or partner, we require the following:
 - Copy of ID
 - Proof of address (less than three months old)

PPM - Updated 2018