

1. Trusts

IDENTIFY	VERIFY
Trust Name and Number:	Certified Trust Deed / Founding Document
Authority to Act	Certified Letter of Authority
Address of the Master of the High Court	Certified Letter of Authority
Income Tax Number	Documentary evidence confirming tax registration number
Bank Particulars	Bank Statement in the name of the trust not older than 3 months
Authorised Representative to interact with ISEC	Signed Resolution by all the trustees

1.1 Founder of the Trust

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

1.2 Trustees of the Trust

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport
Residential Address	Proof of address not older than 3 months

Head Office: Johannesburg

Ferguson Place
39 Ferguson Road, Illovo
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1.3 Named and un-named Beneficiaries

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months
Method of Beneficiary Determination	Trust Deed / Signed Resolution confirming Beneficiaries

2 South African Companies

IDENTIFY	VERIFY
Registered Name	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Registration number	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Registered Address	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Operating address	Proof of address not older than 3 months
Bank Particulars	Bank Statement in the name of the company not older than 3 months
Income Tax / Vat Registration number	Documentary evidence of confirming tax registration number
Ownership structure	Corporate Organogram
Proof of shareholding	Company Share Register
Authorised Representative to interact with ISEC	Signed Resolution by all the Directors

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2.1 Company representatives: For each Director, MD, CEO and authorised individual of the Company

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

2.2 Individual shareholders with 5% and more shareholding

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

2.3 Corporate shareholders with 5% and more shareholding

IDENTIFY	VERIFY
Registered Name	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Registration number	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Registered Address	Official CIPC Documents, CM1, CM2, CM9, CM46 / CoR 14,3 & CoR 15,2, CoR21
Operating address	Proof of address not older than 3 months

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Ownership structure	Corporate Organogram
Proof of shareholding	Company Share Register

3. Non-resident Companies

IDENTIFY	VERIFY
Registered Name	Business Registration Documents
Registration number	Business Registration Documents
Registered Address	Business Registration Documents
Operating address in country of Incorporation	Proof of address not older than 3 months
Operating address in South Arica (if applicable)	Proof of address not older than 3 months
Bank Particulars	Bank Statement in the name of the company not older than 3 months
Income Tax / Vat Registration number	Documentary evidence of confirming tax registration number
Ownership structure	Corporate Organogram
Proof of shareholding	Company Share Register
Authorised Representative to interact with ISEC	Signed Resolution by all the Directors

3.1 Company Representatives: For Each director, MD, CEO and authorised Individual of the Company

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

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3.2 Individual shareholders with 5% and more shareholding

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

3.3 Corporate shareholders with 5% and more shareholding

IDENTIFY	VERIFY
Registered Name	Business Registration Documents
Registration number	Business Registration Documents
Registered Address	Business Registration Documents
Operating address	Proof of address not older than 3 months
Ownership structure	Corporate Organogram
Proof of shareholding	Company Share Register

4. Close Corporations

IDENTIFY	VERIFY
Registered Name	Official CIPC Documents, CK1 & CK2
Registration number	Official CIPC Documents, CK1 & CK3
Registered Address	Official CIPC Documents, CK1 & CK4
Name under which conducting business	Corporate Letterhead
Operating address	Proof of address not older than 3 months

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Bank Particulars	Bank Statement in the name of the close corporation not older than 3 months
Income Tax / Vat Registration number	Documentary evidence of confirming tax registration number
Proof of shareholding	Official CIPC Documents, CK1 & CK2
Authorised Representative to Interact with ISEC	Signed Resolution by all the CC members

4.1 Corporation Representative: for Each Corporation

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

5. Partnership

IDENTIFY	VERIFY
Registered Name	Partnership Agreement
Type of Partnership	Partnership Agreement
Registered Address	Partnership Agreement
Operating address	Proof of address not older than 3 months
Bank Particulars	Bank Statement in the name of partnership not older than 3 months
Proof of shareholding	Partnership Agreement
Authorised Representative to interact with ISEC	Signed Resolution by all the partners

5.1 Members and Representatives of the Partnership

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IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months
Income Tax / Vat Registration number	Documentary evidence of confirming tax registration number

6. Other Entities

Includes all other entities that cannot be otherwise classified, for example: Pension / Provident / Retirement annuity Funds.

IDENTIFY	VERIFY
Name of legal entity	Founding Statement / Agreement / Fund Rules / Constitution
Operating address	Proof of address not older than 3 months
Income Tax / Vat Registration number	Documentary evidence of confirming tax registration number
Bank Particulars	Bank Statement in the name of the entity not older than 3 months
Authorised Representative to interact with ISEC	Signed Resolution by authorised individuals

6.1 Representatives of the Legal Entity

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

Important notes pertaining to the CDD

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Independent Securities

Your Investment Partner

1. Please note that all documentation provided must either:
 - i. An original, or
 - ii. A copy of the original document sighted by an Independent Securities employee, or
 - iii. A copy of the original document certified by an Independent Commissioner of Oaths (Note: Certification must contain date, full name, title and signature of the Commissioner of Oaths and wording should stipulate "Certified a true copy of". Where the document being commissioned is more than one page, the stamp/full commission must appear on either the front or back page. In the case of High-Risk clients certified documents may not be older than 3 months (date of Commissioner of Oaths signature).
2. Documents should be of good quality, ensure that you are able to identify the picture in identity documents, and the registration numbers of the company on the various company documentation should be clear.
3. Ensure that the person/s signing on behalf of the party is authorised to do so.
 - i. Check the rules and any amendments in the case of organisations.
 - ii. In the event of a company, where the directors are not the mandated officials, the document needs to set out who the authorised signatories are, with specimen signatures.
4. Proof of address cannot be older than 3 months and has to state the physical street address as well as the entity or individuals name; stand number/s and P.O. Box addresses are insufficient, If a utility bill is unavailable the address needs to be verified by one of the following methods, provided the documents are not older than 3 months and states the physical street address as well as the entity or individuals name:
 - i. A site visit to the residential address of the person seeking to open an account by a staff member and/or director. A standard declaration confirming the client's details must be completed, dated and signed by the person doing the visit.
 - ii. An original bank statement or mortgage (bond) statement issued by a bank registered in terms of the Banks, reflecting the name and residential address of the person; or
 - iii. An original lease or rental agreement reflecting the name and residential address of the person; or
 - iv. An original short term insurance contract covering the building and/or contents at the client's residential address reflecting the name of the person; or
 - v. Tax return, correspondence or any other official document issued by SARS on their letterhead.
 - vi. An original telephone or cellular account reflects the name and residential address of the person.
 - vii. Body corporate correspondence or share block correspondence.
5. Where the client is unable to provide any of the above documents in their own name because he/she lives with someone else (cohabitant) then we require:
 - i. Details of the cohabitant.
 - ii. ID document or passport (When not a South African citizen) of the cohabitant.
 - iii. A utility bill or one of the documents mentioned in (d) above, not older than 3 months and in the name the cohabitant confirming the residential address.
Have the cohabitant complete a cohabitants declaration and attach the required documents.
6. Certificates of name change (CM9) are required each time the company undergoes a name change.
7. All resolutions and documents (e.g., such as the rules of a fund) must be signed correctly for such documents to be acceptable.
8. Vat and tax registration numbers must be verified by a document issued by SARS.
9. A copy of a bank statement (not older than 3 months) will be required to confirm banking details

Directors LK Faure, RJ Macmillan, JG Solms

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10. Where a company is formed by means of an Act or by Parliament, a copy of the relevant Act (or referring us to the relevant Act), the list of mandated officials, and all relevant documents pertaining to their appointment

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