

ANTI-MONEY LAUNDERING LEGISLATION DOCUMENTATION REQUIREMENTS

The Financial Intelligence Centre Act, 2001 (“FICA”), obliges Link Investor Services (“LIS”) to identify and verify client details. We are also required to comply with Strate Directive SA.4 which requires clients to provide banking details in their own name and these details should be verified by the bank.

Individual

- an original certified copy of your identity document;
- an original certified copy of your proof of residential address e.g. rates account, electricity or telephone bill (not a mobile telephone account) bearing your name and current residential address dated within the preceding 3 months to verify your physical address details;
- an original certified copy of your bank statement dated within the preceding 3 months (not an internet bank statement or cancelled cheque) to verify your bank account details. Alternatively, we will accept a signed and stamped letter from your bankers on a letterhead confirming your banking details. **It is important to note that we may not accept third party banking details.**

Power of Attorney

- an original certified copy of the Power of Attorney;
- an original certified copy of the identity document of the registered shareholder;
- an original certified copy of your (the agent’s) identity document;
- an original certified copy of a service bill e.g. rates account/electricity bill or telephone bill (not a mobile telephone account) bearing the shareholder’s name and current residential address dated within the preceding 3 months in order to verify the physical address details;
- where the agent is an attorney or an institution, the agent’s letterhead in order to verify their physical address. Alternatively we will require a service bill reflecting your (the agent’s) name and residential address dated within the preceding 3 months in order to verify your (the agent’s) address;
- an original certified copy of the bank statement dated within the preceding 3 months (not an internet statement or a cancelled cheque) to verify the shareholder’s bank account details. Alternatively, we will accept a signed and stamped letter from the bank confirming the shareholder’s bank account details. **Please note that we may not accept third party banking details.**

Minors

- written confirmation from the natural guardian, stating the capacity in which he/she is signing or in the case of a legal guardian attach a certified copy of the Letters of Guardianship;
- an original certified copy of the birth certificate of the minor;
- an original certified copy of the identity document of the guardian;
- an original certified copy of your service bill e.g. rates account/electricity bill or telephone bill (not a mobile telephone account) bearing your name (the guardian’s) and current residential address dated within the preceding 3 months in order to verify your physical address details; and

- an original certified copy of a bank statement dated within the preceding 3 months (not an internet statement or a cancelled cheque) in order to verify the minor's bank account details. Alternatively, we will accept a signed and stamped letter from the bank confirming the minor's bank account details. **Please note that the bank account is to be in the name of the minor.**

Deceased Shareholder

- an original certified copy of the executor(s) identity document(s);
- an original certified copy of the Letters of Executorship or Letters of Authority;
- an original certified copy of the Death Certificate;
- an instruction on the executor's letterhead advising of the death of the shareholder and requesting that we update our records accordingly. If the estate is not being administered by an attorney or an institution, then we will require a service bill reflecting the residential address in order to verify the physical address of the executor/executrix; and
- an original certified copy of the deceased estate's bank statement dated within the preceding 3 months (not an internet bank statement or cancelled cheque) to verify the bank account details. Alternatively, we will accept a signed and stamped letter from your bankers confirming the estate's bank account details. **Please note that the bank account must be in the name of the estate.**

Shareholder under curatorship/liquidation

- any forms or instructions must be signed by the administrator appointed by the Master of the High Court;
- an original certified copy of the Letters of Appointment;
- an original certified copy of your (the administrator's) identity document;
- an original certified copy of the shareholder's identity document;
- where the administrator is an attorney or an institution, the administrator's letterhead in order to verify their physical address. Alternatively if you (the administrator) are an individual then we will require an original certified copy of a service bill reflecting your residential address dated within the preceding 3 months in order to verify your address; and
- an original certified copy of the bank statement dated within the preceding 3 months to verify the bank account details. Alternatively, we will accept a signed and stamped letter from your bankers confirming the bank account details.

Pension Funds, Provident Funds and Retirement Annuity Funds

Pension Funds, Provident Funds and Retirement Annuity Funds are exempt in terms of the FICA Requirements. Link Investor Services will however require confirmation of the authorised signatories/trustees and proof of their authority to act on behalf of the fund. In addition you still need to comply with the Strate Directive SA.4 requirements. Please provide the following:

- an original certified copy of the Certificate of Registration issued by the Registrar of Pension Funds;
- an original certified copy of a board minute/resolution detailing persons authorised to act on behalf of the Pension Fund, Provident Fund or Retirement Annuity Fund. Please appoint a principal trustee/officer to act on behalf of the fund for share dealing purposes;
- a list of authorised signatories/trustees together with specimen signatures on a company letterhead;

- original certified copies of the identity documents of the authorised signatories/trustees; and
- an original certified copy of the bank statement to verify the fund's bank account details. Alternatively, we will accept a signed and stamped letter from the bank confirming the fund's bank account details. **Please note that third party banking details will not be accepted.**

Unlisted Companies, Close Corporations and Other Legal Entities

- an original certified copy of a board minute/resolution detailing persons authorised to act on behalf of the company/close corporation/legal entity. Please appoint a principal company officer/member to act on behalf of the company/close corporation/legal entity for share dealing purposes.
- a list of authorised signatories together with specimen signatures on a company letterhead;
- an original certified copy of:
 - Companies: Certificate of Incorporation, Certificate of change of name of company (if applicable), Notice of Registered Office and Postal Address and Contents of Register of Directors, Auditors and Officers;
 - Close Corporations: Founding Statement and Certificate of Incorporation and amended Founding Statement (if applicable); and
 - Other legal entities: the Constitution or other founding documentation and written confirmation of the residential address and contact particulars of person(s) authorised to act on behalf of the legal entity;
- contact particulars for authorised persons (no verification documentation required);
- original certified copies of the identity documents of the authorised signatories and CEO;
- an original certified copy of a service bill (e.g. rates account/electricity bill or telephone bill) bearing the business' name and current physical address dated within the preceding 3 months in order to verify the trade name and physical business address details;
- an original certified copy of a document issued by SARS to verify the business' tax number and VAT number (where one has been issued). If a tax number/VAT number has not been issued, please confirm this in writing;
- an original certified copy of the following documentation for any shareholder who holds more than 25% of the voting rights of the investor company:
 - Individual: identity document (SA Residents)/passport (Non-Residents)
 - Companies: Certificate of Incorporation, Certificate of change of name of company (if applicable), Notice of Registered Office and Postal Address and Contents of Register of Directors, Auditors and Officers;
 - Close Corporations: Founding Statement and Certificate of Incorporation and amended Founding Statement (if applicable);
 - Other legal entities: the Constitution or other founding documentation and written confirmation of the residential address and contact particulars of person(s) authorised to act on behalf of the legal entity;
 - Trust: Trust Deed and Letter of Authority issued by the Master of the High Court.
- contact particulars for any shareholder who holds more than 25% of the voting rights of the company– no verification documentation required; and
- an original certified copy of the bank statement to verify the business' bank account details. Alternatively we will accept a signed and stamped letter from your bankers on a letterhead confirming the business' bank account details. **Please note that we may not accept third party banking details.**

Unlisted Foreign Companies

- Same or local equivalent of documentation referred to above for unlisted South African company. We are, however, required to verify the registered name/number/address and trade name/physical address under which the company conducts business in South Africa and in the country of incorporation. If an unlisted company has multiple offices, the physical business address of its head office and the registered shareholder is required.
- We require written confirmation of the residential address and contact particulars of persons authorised to act on behalf of the company and the CEO – no verification documentation required.

Listed Foreign and South African Companies

- A listed company is defined as a limited company whose shares are quoted on a “recognized stock exchange” (refer to our website for a list of recognized stock exchanges). Link investor Services is exempted from verifying certain information for public listed companies. This also applies to wholly-owned subsidiaries of the listed company.
- We require written confirmation of the registered name, registration number and physical address (no verification documentation required). If the listed company has multiple offices, we require the physical business address of the head office and the registered investor company.
- original print-out from the exchange’s website or extract from the JSE Handbook confirming listing;
- original certified copy of the group structure in the annual financial statements or print-out from stock exchange website to prove the link between the listed company and subsidiary for wholly-owned subsidiaries (where applicable);
- an original certified copy of a board minute/resolution detailing persons authorised to act on behalf of the company. Please appoint a principal company officer for share dealing purposes.
- original certified copies of identity documents/passports for the authorised signatories/persons of foreign listed companies;
- original certified copy of the bank statement to verify the business’ bank account details. Alternatively, we will accept a signed and stamped letter from your bankers on a letterhead confirming the business’ bank account details. **Please note that we may not accept third party banking details.**

Inter Vivos Trusts

(Note: Only registered trusts)

Any form or instruction must be signed or given by the authorised principal trustee:

- an original certified copy of the Letters of Authority issued by the Master of the High Court;
- the Trust Deed or other founding documents;
- an original certified copy of the trustee resolution/power of attorney signed by all the trustees authorising you to act on behalf of the trust;
- a list of persons/trustees who are authorised to act on behalf of the trust together with specimen signatures;
- original certified copies of the identity documents for all the trustees; the founder of the trust and the beneficiaries of the trust;
- written confirmation or a service bill e.g. rates account/electricity bill or telephone bill in order to verify the residential address of the:
 - authorised trustees;
 - the founder of the trust; and
 - the beneficiaries of the trust.

- contact particulars for the trustees, founder of the trust and beneficiaries of the trust – no verification documentation required.
- an original certified copy of the Trust's bank statement to verify the bank account details. Alternatively, we will accept a signed and stamped letter from your bankers on a letterhead confirming your banking details. **Please note that the bank account must be in the name of the Trust.**

Testamentary Trusts

(Note: Only registered trusts)

Testamentary Trusts are exempt in terms of the FICA Requirements. Link Investor Services will, however, require confirmation of the authorised trustees and proof of their authority to act on behalf of the trust in terms of Strate Directive SA.4

- Any form or instruction must be signed or given by the authorised principal trustee;
- an original certified copy of the trustee resolution/power of attorney signed by all the trustees authorising you to act on behalf of the trust;

- a list of persons/trustees who are authorised to act on behalf of the trust together with specimen signatures;
- an original certified copy of the Letters of Authority issued by the Master of the High Court and the Trust Deed;
- original certified copies of the identity documents for all the trustees;
- an original certified copy of the Trust's bank statement to verify the bank account details.
- Alternatively, we will accept a signed and stamped letter from your bankers on a letterhead confirming your banking details. **Please note that the bank account must be in the name of the Trust.**

If you are unable to provide any of the above documents, please contact the Link Investor Services on +27 11 713 0800 for alternative acceptable documentation.