

## SA STOCK BROKERS CAPITAL (PTY) LTD – SUB ACCOUNT LOADING SCHEDULE

Branch Code	BL	Date				
Partner Code	EP	Sub Account Number				
Advisor Name						(For Office Use Only)

### ENTITY INFORMATION

Name of Entity			
Registration Number		Tax Number	
CCN Resident Number		Name of Industry	
Date and Country of Incorporation			

### CONTROLLING / RESPONSIBLE PERSON DETAILS

Title and First Names			
Surname			
ID Number		Physical Address	
Contact Number			
Company Designation			

### ENTITY CONTACT DETAILS

Postal Address		Physical Address	
Postal Code		Postal Code	
Telephone (Work)		Facsimile	
Telephone (Alt.)		Cellular	
Email			

### ENTITY LOCAL BANKING DETAILS

Account Holder			
Bank		Account Number	
Branch Code		Branch Name	

**NB: CASH DEPOSITS ARE NOT PERMISSABLE**

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## INFORMATION REQUIRED TO DISCHARGE REPORTING OBLIGATIONS TO FICA

### COMPANY PROFILE

Average Income Per Month	
Source of Income (The % of funds divided Into Cash/Cheque/EFT)	
Source of funds relating to business relationship or single transactions (the % of funds divided into cash/cheque/eft)	
Nature of Business (full description of exactly what will be traded)	
Name and Country of two main trading partners:	
Name & Country	
Name & Country	

### COMPANY MANGER/S (PRINCIPAL EXECUTIVE OFFICER/S)

Title and Full Name			
ID Number		Nationality	
Contact No			
Physical Address			
Title and Full Name			
ID Number		Nationality	
Contact No			
Physical Address			
Title and Full Name			
ID Number		Nationality	
Contact No			
Physical Address			
Title and Full Name			
ID Number		Nationality	
Contact No			
Physical Address			

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**Version: 27 February 2019**

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**PERSON/S AUTHORISED TO ACT ON BEHALF OF COMPANY TO DEAL WITH SA STOCK BROKERS CAPITAL**  
(IF NOT DETAILED UNDER COMPANY MANGER/S)

Title and Full Name	<input style="width:100%;" type="text"/>		
ID Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Title and Full Name	<input style="width:100%;" type="text"/>		
ID Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

**PERSON/S HOLDING 10% OR MORE OF THE COMPANY'S VOTING RIGHTS AT AGM (SHAREHOLDERS)**

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

  

Full / Entity Name	<input style="width:100%;" type="text"/>		
ID / Reg Number	<input style="width:95%;" type="text"/>	Nationality	<input style="width:95%;" type="text"/>
Contact No	<input style="width:95%;" type="text"/>		
Physical Address	<input style="width:100%;" type="text"/>		

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# FATCA CRS SELF - CERTIFICATION

## FATCA INFORMATION

Please tick the applicable classification status. Please note that a selection must be made otherwise it will be assumed that the entity is a Non-Participating Financial Institution.

Are you a specified U.S. Person or Entity?  Yes  No

If Yes, please provide your U.S. Tax Identification Number:

If you selected Yes, please select only **ONE** of the below options:

*Foreign Financial Institution:* Please note that this is not an exhaustive list (use "Other" if necessary).

- Non-Participating Financial Institution
- Reporting Financial Institution or Registered Deemed Compliant Financial Institution
- Sponsored Financial Institution
- Owner Documented Financial Institution
- Certified Deemed Compliant Financial Institution
- Exempted Beneficial Owners (including Funds)
- Other. Please specify

*Non- Financial Foreign Entity (NFFE):*

- Active Non – Financial Foreign Entity (Active NFFE)
- Passive Non – Financial Foreign Entity (Passive NFFE)
- Trust
- Direct Reporting NFFE or Sponsored Direct Reporting NFFE

## CRS INFORMATION

List all countries, except for South Africa, where you are resident for tax purposes and provide your Tax Identification Number (TIN). A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, complete an equivalent number, for example a social security, national insurance, personal identification or a resident registration number.

Is your entity Tax Resident in a jurisdiction other than South Africa?  Yes  No

If Yes, please provide the following information

Country 1	<input type="text"/>	TIN:	<input type="text"/>
Country 2	<input type="text"/>	TIN:	<input type="text"/>
Country 3	<input type="text"/>	TIN:	<input type="text"/>
Country 4	<input type="text"/>	TIN:	<input type="text"/>

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If you selected **Yes**, please select only **ONE** of the below options:

*Non- Financial Entity (NFE):*

Active Non – Financial Entity (**Active NFE**), or

If “**Active NFE**” ticked, please specify the type:

A corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation:

A Government Entity

An International Organisation

Any other Active NFE, please specify:

Passive Non – Financial Entity (**Passive NFE**)

I, the Undersigned, hereby declare that:

- The above information is true and correct;
- I/We consent to this information being provided to the South African Revenue Service and/or the Financial Intelligence Centre
- I/We undertake to advise SA Stock Brokers Capital within 30 days of any change in circumstances which affects the entity’s tax residency status or causes any information contained herein to become incorrect.

SIGNED AT: \_\_\_\_\_

DATE: \_\_\_\_\_

**CLIENT NAME / AUTHORISED SIGNATORY NAME**

**CLIENT SIGNATURE / AUTHORISED SIGNATORY SIGNATURE**

WITNESS NAME: \_\_\_\_\_

WITNESS NAME: \_\_\_\_\_

WITNESS SIGNATURE: \_\_\_\_\_

WITNESS SIGNATURE: \_\_\_\_\_

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**CLIENT PRODUCT AND TRADING SYSTEM SELECTION – MARK WITH AN X**

**LOCAL PRODUCTS**

INVESTMENT TYPE	DISCRETIONARY	BROKERAGE (EXCL. VAT, CLEARING & EXCHANGE FEES)
JSE Equity Investments	<input type="checkbox"/>	Greater of: R130 or 0.50% of transaction value.
NOTES		
Please note that a monthly admin fee of R66.50 EXCL. Vat with be levied per local account		

**FOREIGN EXCHANGE TRANSACTIONS (FOREX) PRODUCTS**

<input type="checkbox"/>	Single Transfer – Single transaction to convert from ZAR to specified currency. Additional transfer requires <u>new mandate</u> .
<input type="checkbox"/>	Normal Forex Account – Allows for multiple transactions to send/receive funds to/from offshore accounts.
<input type="checkbox"/>	<p>CFC – Company Foreign Currency – This account is more suited to Import/Export Companies or for Private Individuals that qualify for Investment purposes</p> <p>Special account that can hold funds in a specified foreign currency indefinitely.</p> <p>Select applicable currency/ies for <b>CFC account only</b>:</p> <p><input type="checkbox"/> USD      <input type="checkbox"/> EUR      <input type="checkbox"/> GBP</p>
FOREX COMMISSION	
Foreign Exchange Intermediary Services	R628.29 + 0.85% of the transaction value
An additional 0.10% commission will be charged if we assist you with your tax clearance certificate – Total: R628.29 + 0.95% of the transaction value	

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**RESOLUTION - (DELETE THE NON-APPLICABLE WORDS)**

**NAME OF ENTITY ("the Client")**

**REGISTRATION NUMBER**

**TYPE OF ENTITY**

PRIVATE COMPANY / CLOSE CORPORATION

RESOLUTION PASSED BY THE MEETING OF \_\_\_\_\_ [DIRECTORS/MEMBERS/PARTNERS]

PASSED ON THE \_\_\_\_\_ DAY OF \_\_\_\_\_ YEAR \_\_\_\_\_

**RESOLVED:**

**1. THAT, "the Client"**

- 1.1. Opens accounts and deposit funds with Mercantile Bank Limited ("Mercantile"), whether current, savings, investment, foreign exchange margin accounts or foreign currency accounts and manage these accounts.
- 1.2. If applicable, enters into a Foreign Exchange Trading Agreement with Mercantile, a copy of which has been exhibited to and approved by the meeting.
- 1.3. Withdraws funds held in the client's name from Mercantile to meet specific underlying trade related transactions in the client's name.
- 1.4. Gives instructions to Mercantile to transfer and/or convert funds from current to call accounts or call to current accounts, or transfer funds to any other account with Mercantile or at another recognised financial institution in order to facilitate any envisaged transactions.
- 1.5. Gives instructions to Mercantile to purchase and/or sell foreign currency (spot and forward), transacts in other over-the-counter foreign exchange products and/or invest in money market products and do all things and sign all such documents as are necessary to execute and settle such aforesaid transactions.
- 1.6. Instructs Mercantile to load the aforesaid accounts on the BANK@bility profile of SA Derivatives, for viewing purposes only, to enable SA Derivatives to monitor transactions and balances on these accounts through BANK@bility.
- 1.7. Accepts Mercantile's terms and conditions of business and sign any documentation relating thereto, with which the Client confirms its acquaintance and acknowledges to be bound by such terms and conditions at all times until termination of its business relationship with Mercantile.
- 1.8. Undertakes to pay Mercantile's fees and charges on due date.
- 1.9. Enters into and/or signs any other agreements, applications or documentation required to give effect to this resolution including but not limited to agreements to buy or sell forward exchange, applications, documentation relating to exchange control, facility letters issued by Mercantile and confirmations, containing such information, terms and/or conditions as may be prescribed by Mercantile from time to time; and
- 1.10. It provides a written mandate (a copy of which mandate has been exhibited to and approved by the meeting) to SA Derivatives and SA Stock Brokers Capital to act on the Client's behalf and to give effect to the resolutions referred to in 1.1 to 1.9 above.

**2. THAT,**

**AUTHORISED PERSON NAME 1**

**DESIGNATION**

**AND,**

**AUTHORISED PERSON NAME 2**

**DESIGNATION**

**AND,**

**AUTHORISED PERSON NAME 3**

**DESIGNATION**

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- 2.1 in their capacities of the COMPANY / CC, be and he/she/they is/are authorised to sign all documentation in respect of and to give effect to the resolutions referred to in 1.1 – 1.9 above and where applicable, the mandate referred to in 1.10 above, as required by Mercantile on behalf of the Client and thus binding it.
- 2.2 Any person purporting to be authorised by or acting on behalf of SA Derivatives (Pty) Ltd be and he/she/they is/are authorised to sign all documentation and to enter into any agreements required by the Bank in respect of and to give effect to the resolutions referred to in 1.1 to 1.9 above on behalf of the Client, thus binding it.
- 2.3 This resolution shall remain in force until cancelled in writing by a subsequent resolution by the Client and Mercantile has been provided with a certified copy of such resolution.

AUTHORISED SIGNATORY SIGNATURE	DATE
AUTHORISED PERSON 1 SIGNATURE	DATE
AUTHORISED PERSON 2 SIGNATURE	DATE
AUTHORISED PERSON 3 SIGNATURE	DATE



PLEASE COMPLETE THIS SECTION IF YOU WISH TO MAKE USE OF PREFERENTIAL FOREX RATES THROUGH SA DERIVATIVES AND  
MERCANTILE BANK

**TREASURY INTERMEDIARY MANDATE – TO BE COMPLETED AND SIGNED BY THE CLIENT**

ENTITY FULL NAME (“CUSTOMER”)	
ENTITY REGISTRATION NUMBER	

To Mercantile Bank Limited

LETTER OF APPOINTMENT AS AGENT

I/We, the customer, hereby appoint and authorise:

SA Derivatives (Pty) Ltd  
Reg No: 1999/018492/07  
("The Agent")

To be my/our Agent, and to implement the following on my/our behalf:

- 1 To open accounts and deposit funds with Mercantile Bank Limited (“Mercantile”) in my/our name, whether current, savings, investment, foreign exchange margin accounts or foreign currency accounts and to manage these accounts on my/our behalf
- 2 To withdraw my/our funds held in our name from Mercantile to meet specific underlying trade related transactions in my/our name.
- 3 To give instructions to Mercantile to transfer and/or convert my/our funds from current to call accounts or call to current accounts, or transfer funds to any other account with Mercantile or at another recognised financial institution in order to facilitate any transactions envisaged in this mandate.
- 4 To give instructions to Mercantile acting on my/our behalf, to purchase and/or sell foreign currency (spot and forward) in my/our name, to transact in other over-the-counter foreign exchange products and/or to invest in money market products and do all things and sign all such documents as are necessary to execute and settle such aforesaid transactions on my/our behalf.
- 5 To instruct Mercantile to load the aforesaid accounts on the BANK@bility profile of the Agent for viewing purposes only to enable the Agent to monitor transactions and balances on these accounts through BANK@bility
- 6 In general to act for us in all matters concerning any transactions or dealings with Mercantile relating to the authority granted herein.
- 7 To accept on my/our behalf Mercantile’s terms and conditions of business and sign any documentation relating thereto. I/We hereby confirm that I/We are acquainted with such terms and conditions and acknowledge that I/We will be bound by such terms and conditions at all times until termination of my/our business relationship with Mercantile
- 8 To accept and pay on my/our behalf Mercantile’s fees and charges. I/We undertake to pay Mercantile’s fees and charges on due date.

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## DECLARATION BY THE CLIENT

- A. I/We hereby warrant that any transactions undertaken on my/our behalf by the Agent shall comply with any Rulings, Regulations and Legislation, including but not limited to, the South African Reserve Bank Exchange Control Regulations and, further I/We warrant that I/We am not, as at the signature date hereof, and shall not, during the currency of this mandate, be, in contravention of any Exchange Control Rules, Regulations and/or Legislation;
- B. I/We hereby acknowledge that in granting this mandate I/We assume all risks connected with the administration of the entrusted funds by the Agent (except in so far as there may in law be a right of recovery against the Agent), as well as the responsibility to ensure that the Agent executes the instructions as recorded in this mandate as specified by me/us;
- C. I/we hereby abandon any claim which I/we may have against Mercantile, release Mercantile from all liability, and indemnify Mercantile against all direct or consequential losses, liabilities, actions, suits, proceedings, costs, claims, demands, damages, charges and expenses (including all legal and professional fees and disbursements) directly or indirectly incurred in consequence of, or in any way related, including but not limited, to;
- C.1 Mercantile acting in terms of this mandate; or
  - C.2 funds being transferred by the Agent or Mercantile on instruction of the Agent; or
  - C.3 accessing of banking or other accounts of me/us via BANK@bility or otherwise; or
  - C.4 failure, delay, unauthorised use, incorrect procedure, data destruction or errors arising from the omission or incorrect input by the me/us or the Agent; or
  - C.5 usage of the internet and/or BANK@bility; or
  - C.6 breach by the Agent of its obligations under this mandate and/or breach by me/us of our obligations under my/our agreements with Mercantile.
- D. This mandate shall remain in force until I/We have given Mercantile seven (7) days written notice that this mandate is terminated. I/We hereby indemnify Mercantile and hold it harmless against any claims, damages and losses which may be made against Mercantile by any person (including the Customer and Agent), arising from or relating to this mandate or Mercantile acting upon an instruction from my/our Agent.

PLEASE ENSURE THAT BOTH WITNESSES SIGN BELOW AND INITIAL THE PREVIOUS PAGE. THIS DOCUMENT CANNOT BE ACCEPTED IF IT IS INCOMPLETE.

SIGNED AT: \_\_\_\_\_

DATE: \_\_\_\_\_

CLIENT NAME / AUTHORISED SIGNATORY NAME

CLIENT SIGNATURE / AUTHORISED SIGNATORY SIGNATURE

WITNESS NAME: \_\_\_\_\_

WITNESS NAME: \_\_\_\_\_

WITNESS SIGNATURE: \_\_\_\_\_

WITNESS SIGNATURE: \_\_\_\_\_

## APPLICATION FOR A FOREIGN INVESTMENT ALLOWANCE TAX CLEARANCE CERTIFICATE

The application for a Foreign Investment Allowance Tax Clearance Certificate can now be done via eFiling. We have an agreement in place with Stellenbosch Trustees en Trust Compliance (Pty) Ltd ("Stellentrust Compliance") who can assist with the application with shared access to your eFiling profile.

Shared access is a function available which makes sure that you have full control/knowledge of your tax affairs, regardless of whether a Tax Practitioner completes and/or submits tax returns on your behalf.

### WHAT DO THE DIFFERENT SHARED ACCESS FUNCTIONS ENTAIL?

Full Shared Access means that you, as well as Stellentrust Compliance, will have full and equal access to all the information relating to the relevant tax type(s). Once this type of access is asked for, immediate authorisation is given to you. Both you and Stellentrust Compliance will be able to view, fill in and send SARS your tax return(s), update your personal details, etc.

However, unless otherwise indicated, Stellentrust Compliance will only use their access to lodge an application for a Foreign Investment Allowance Tax Clearance Certificate.

### CORRESPONDENCE

If you selected this option, then both of you and Stellentrust Compliance will receive all correspondence from SARS.

### WHERE THE APPLICANT HAS NO EFILING PROFILE

If the applicant does not have an eFiling profile, Stellentrust Compliance will have to create a profile where the following additional documents will be required for SARS verification purposes:

1. Copy of the taxpayer's ID
2. Proof of residential address (not older than 1 month)
3. Proof of bank account (not older than 1 month)

Please contact **Hendrik van Deventer** for more assistance

Mobile: +27 (0) 76 401 5312

E-mail [hendrik@stellentrust.co.za](mailto:hendrik@stellentrust.co.za)

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[www.efpc.co.za](http://www.efpc.co.za) | +27 (0)12 667 3771 | [admin@efpc.co.za](mailto:admin@efpc.co.za)  
[www.sastockbrokers.co.za](http://www.sastockbrokers.co.za) | +27 (0)11 214 7250 | [info@sastockbrokers.co.za](mailto:info@sastockbrokers.co.za)

EFFICIENT  
+ PRIVATE  
CLIENTS



## ANNEXURE 1 – ACCOUNT OPENING FICA REQUIREMENTS

NO CERTIFICATION (UNLESS SPECIFIED) AND NO ORIGINAL DOCUMENTS REQUIRED, BUT THE DETAILS MUST BE CLEARLY VISIBLE AND MATCH THE THOSE PROVIDED ON THE APPLICATION FORM

### LOCAL ACCOUNT

#### UNLISTED SOUTH AFRICAN COMPANIES

##### ⇒ COMPANY IDENTIFICATION DOCUMENTS

1. Registration certificate, and/or memorandum of incorporation (MOI);
  2. Names and addresses of legal and/or natural persons who may exercise voting rights in excess of 25%;
  3. Board Resolution listing the authorised signatories who may act on behalf of the company.
- No certification required on the above.

##### ⇒ ADDITIONAL COMPANY IDENTIFICATION DOCUMENTS – In addition to the above documents, the below is also required:

1. CERTIFIED ID of each managing director;
2. CERTIFIED ID of each natural person authorised to contract on behalf of the company;
3. CERTIFIED ID of each natural person or legal person holding 25% or more voting rights;
4. Founding documents of each legal person holding more than 25% of voting rights.

##### ⇒ PROOF OF COMPANY PHYSICAL ADDRESS

No certification required. Any document verifying the physical address of the company is sufficient, including the founding documentation.

##### ⇒ PROOF OF COMPANY BANKING DETAILS – A downloaded company bank statement is required.

It does not have to be stamped, downloaded from internet banking will suffice provided the name and account number is clearly visible.

##### ⇒ SARS TAX DOCUMENT – A copy of an official SARS document reflecting the entity name such as:

1. Tax Statement;
2. Tax Clearance Certificate.

No certification required on the above but the name and tax number must be clearly visible and match the details provided.

#### CLOSE CORPORATION (CC)

##### ⇒ COMPANY IDENTIFICATION DOCUMENTS

1. A CK1 (founding statement of incorporation);
  2. A CK2 (amended founding statement);
  3. Resolution to identify who may act on behalf of the CC (on a letterhead).
- No certification required.

##### ⇒ ADDITIONAL COMPANY IDENTIFICATION DOCUMENTS – In addition to the above documents, the below is also required:

1. CERTIFIED ID of each managing director;
2. CERTIFIED ID of each natural person authorised to contract on behalf of the CC;
3. CERTIFIED ID of each natural person or legal person holding 25% or more of voting rights;
4. Founding documents of each legal person holding more than 25% of the voting rights.

##### ⇒ PROOF OF CC PHYSICAL ADDRESS

No certification required. Any document verifying the physical address of the CC is sufficient, including the founding documentation.

##### ⇒ PROOF OF CC BANKING DETAILS – A downloaded CC bank statement is required.

It does not have to be stamped, downloaded from internet banking will suffice provided the name and account number is clearly visible.

##### ⇒ SARS TAX DOCUMENT – A copy of an official SARS document reflecting the entity name such as:

1. Tax Statement;
2. Tax Clearance Certificate.

No certification required on the above but the name and tax number must be clearly visible and match the details provided.

#### NON RESIDENT ENTITIES

##### ⇒ PLEASE CONTACT US FOR THE DETAILED PROCEDURE DEPENDING ON CLIENT DOMICILE

##### ⇒ EQUIVALENT DOCUMENTS FOR ENTITY TYPE AS ABOVE

##### ⇒ ADDITIONAL DOCUMENTATION

1. Certificate to commence business;
2. Letter of good standing from the business' bankers.
3. Full Banking details – Bank name, address, branch name and code, Swift/Bic Code, Account/IBAN, Intermediary bank details.

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