

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)			

CLIENT INFORMATION

Title and First Names			
Surname			
ID Number		Tax Number	

EMPLOYMENT DETAILS (KYC)

I Am Currently	<u>Employed/Self-Employed/Retired/Student</u>	Source of Funds	<u>Salary/Bonus/Inheritance/Retirement Funds</u>
Years Employed		Income	
Name of Company		Employer Physical Address	
Name of Industry			
Job Title/Description			

CONTACT DETAILS

Postal Address		Physical Address	
Postal Code		Postal Code	
Telephone (Work)		Facsimile	
Telephone (Home)		Cellular	
Email			

CLIENT LOCAL BANKING DETAILS

Account Holder			
Bank		Account Number	
Branch Code		Branch Name	

NB: CASH DEPOSITS ARE NOT PERMISSABLE

WITNESS INITIAL > _____ < WITNESS INITIAL > _____ < CLIENT INITIAL > _____ <

Version: 03 April 2019

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Financial Services provided in terms of this application are provided by SA Stock Brokers Capital (Pty) Ltd, registration number 2014/027273/07, a registered Financial Services Provider (FSP 28779), on behalf of Efficient Private Clients, in terms of an outsource and master agreement entered into between the two parties.

www.efpc.co.za | +27 (0)12 667 3771 | admin@efpc.co.za

www.sastockbrokers.co.za | +27 (0)11 214 7250 | info@sastockbrokers.co.za

FATCA CRS SELF – CERTIFICATION

FATCA INFORMATION

Tick the applicable status below:

I am a U.S. Person.

Please provide your U.S. Tax Identification Number:

I am a NOT a U.S. Person.

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.

Are you Tax Resident in a jurisdiction other than South Africa?

Yes

No

If Yes, please provide the following information

Country 1

TIN:

Country 2

TIN:

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 undertake to advise SA Stock Brokers Capital within 30 days of any change in circumstances which affects my/our citizenship, nationality or tax residency status or causes my/our information contained herein to become incorrect.

SIGNED AT: _____

DATE: _____

CLIENT NAME / AUTHORISED PERSON NAME

CLIENT SIGNATURE / AUTHORISED PERSON SIGNATURE

WITNESS NAME: _____

WITNESS NAME: _____

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		
A monthly admin fee of R66.50 EXCL. Vat with be levied per local account		

OFFSHORE PRODUCTS

INVESTMENT TYPE	DISCRETIONARY	BROKERAGE (EXCL. VAT, CLEARING & EXCHANGE FEES)
Offshore Equity Investments (Interactive Brokers)	<input type="checkbox"/>	US Equities: USD 0.075 per share - Min USD 10, Max 0.35% of transaction value UK/EU/Asia Equities: 0.35% of transaction value – Min USD 10 Equivalent
NOTES		
Ticket charges apply – Equity Ticket Price: USD 5 or equivalent local currency per trading ticket/transaction. All relevant exchange fees and other regulatory charges will be added to these commissions and will be for the clients account. An Interest Spread of 1% per annum, above the Interactive Brokers rate, is charged on Cash, Derivatives, CFDs etc.		

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"/>	Special account that can hold funds in a specified foreign currency indefinitely. FCA – Foreign Currency Account – This account is more suited to Import/Export Companies or for Private Individuals that qualify for Investment purposes
Select applicable currency/ies for <u>FCA account only</u> :	
<input type="checkbox"/>	USD
<input type="checkbox"/>	EUR
<input type="checkbox"/>	GBP
FOREX COMMISSION	
Foreign Exchange Intermediary Services	R628.30 + 0.50% of the transaction value
An additional 0.10% commission will be charged if we assist you with your tax clearance certificate – Total: R628.30 + 0.60% of the transaction value	

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PLEASE ONLY COMPLETE THIS SECTION IF YOU ARE OPENING AN OFFSHORE INTERACTIVE BROKERS ACCOUNT

INTERACTIVE BROKERS INFORMATION SHEET – TO BE COMPLETED AND SIGNED BY THE CLIENT

USERNAME (ALL LOWERCASE)							
EXACTLY 8 CHARACTERS - AT LEAST 3 MUST BE LETTERS AND 3 MUST BE NUMBERS AND MUST START WITH A LETTER, EG. john1234							
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

PASSWORD (CASE SENSITIVE)							
EXACTLY 8 CHARACTERS - AT LEAST 3 MUST BE LETTERS AND 3 MUST BE NUMBERS AND START WITH 1 CAPITAL LETTER EG. Prot1234							
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

ADDITIONAL DETAILS – AUTHORISED PERSON SECURITY QUESTIONS

Name of High School attended?

Name of Favourite Vacation Spot?

Name of Favourite Restaurant?

Email Address (If different)

BANKING DETAILS TO BE LOADED FOR IB ACCOUNT DEPOSITS AND WITHDRAWALS

Bank Name	<input type="text"/>	Account Number / IBAN	<input type="text"/>
Bank Address	<input type="text"/>	SWIFT / BIC Code (NB!)	<input type="text"/>
	<input type="text"/>	Sort Code (UK banks only)	<input type="text"/>
	<input type="text"/>	Branch Name	<input type="text"/>
Country Code	<input type="text"/>	Branch Code	<input type="text"/>

CLIENT PRODUCT SELECTION

Equities

Base Currency of IB Account USD GBP EUR

SIGNED AT: _____

DATE: _____

CLIENT NAME / AUTHORISED PERSON NAME

CLIENT SIGNATURE / AUTHORISED PERSON SIGNATURE

WITNESS NAME: _____

WITNESS NAME: _____

WITNESS SIGNATURE: _____

WITNESS SIGNATURE: _____

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

CLIENT FULL NAME (“CUSTOMER”)	
CLIENT ID 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 PERSON NAME

CLIENT SIGNATURE / AUTHORISED PERSON SIGNATURE

WITNESS NAME: _____

WITNESS NAME: _____

WITNESS SIGNATURE: _____

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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

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ANNEXURE 1 – ACCOUNT OPENING FICA REQUIREMENTS

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

LOCAL ACCOUNT

No Fica Documents Required

FOREX ACCOUNTS

INDIVIDUALS / NATURAL PERSONS

- ⇒ **PROOF OF IDENTITY** – A document to verify identity such as:
 1. Bar-Coded ID – Primary form of Identification;
 2. Passport – **ONLY acceptable if a valid reason is provided as to why Green Bar-Coded ID cannot be submitted.**No certification required on the above but must be clearly visible and match the details provided.
- ⇒ **PROOF OF BANKING DETAILS** – A downloaded bank statement must be attached.
It does not have to stamped, downloaded from internet banking will suffice provided the name and account number is clearly visible.

NON RESIDENT INDIVIDUALS / NATURAL PERSONS

- ⇒ **PLEASE CONTACT US FOR THE DETAILED PROCEDURE DEPENDING ON CLIENT DOMICILE**
- ⇒ EQUIVALENT Documents as for an individual/natural person as above.
- ⇒ Letter of good standing from client's banker.

OFFSHORE ACCOUNTS

INDIVIDUALS / NATURAL PERSONS

- ⇒ **PROOF OF IDENTITY** – A document to verify identity such as:
 3. Bar-Coded ID – Primary form of Identification;
 4. Passport – **ONLY acceptable if a valid reason is provided as to why Green Bar-Coded ID cannot be submitted.**No certification required on the above but must be clearly visible and match the details provided.
- ⇒ **PROOF OF PHYSICAL ADDRESS** – A document to verify residential address (**NOT OLDER THAN 3 MONTHS**), such as:
 1. Utility bill;
 2. Credit Card/Bank Statement;
 3. Lease agreement;
 4. Telkom Statement.No certification required, but name and address must be clearly visible and match the details provided.
- ⇒ **PROOF OF BANKING DETAILS** – A downloaded bank statement must be attached.
It does not have to stamped, downloaded from internet banking will suffice provided the name and account number is clearly visible.

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EFFICIENT
+ PRIVATE
CLIENTS



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