

Unit Trust funds: supporting
documents required for FICA

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Contents

- Introduction 3
- Documents required for individuals (natural persons) 3
 - South African citizens 3
 - Investments made on behalf of a minor by a parent or legal guardian 3
 - Foreign nationals 4
 - Persons acting on behalf of the investor 4
- Documents required for legal entities 4
 - South African companies 4
 - Foreign companies 5
 - South African Close Corporations (CC) 5
 - Partnerships 6
 - Trusts 6
 - Unincorporated entities 7
- Documents required for other entities 7
 - Acceptable documents for proof of residential address 7
- Foreign Account Tax Compliance 8

Introduction

In terms of the Financial Intelligence Centre Act (No 38 of 2001 and any amendments thereto hereinafter referred to as "FICA"), Camissa Collective Investments (RF) Limited and Camissa Asset Management (Pty) Ltd – the investment manager of the unit trust funds - are accountable institutions and are therefore required to identify and verify its clients.

Please submit copies of the supporting documents required for FICA (as set out below) with your application form – ensuring that the documentation is clear (ie not blurry, too dark, etc). If we do not receive the required documentation, or if the documentation submitted is not clear, your application will be delayed, and relevant instructions linked to your application could be disregarded.

Documents required for individuals (natural persons)

South African citizens

- Proof of the investor's South African identity document (ID) containing his/her photo, full names, date of birth and ID number (a valid passport or driver's licence will only be accepted if an ID is not available).
- Proof of the investor's residential address* (eg a utility bill, bank statement, tax invoice, Telkom account, payslip or municipal rates invoice).
- Proof of the investor's bank account details* (eg a cancelled cheque or bank statement).
- For FATCA purposes - Proof of the investor's income tax number (eg a document issued by SARS containing the investor's income tax number).

* these documents must be less than three months old

Investments made on behalf of a minor by a parent or legal guardian

- Proof of South African identity document (ID) or valid passport of the Natural Parent as Guardian of the Minor Client.
- Proof of the minor's birth certificate stipulating the name(s) of the natural parent(s). If the name(s) of the natural parent(s) is not stated on the birth certificate, the following documents will be required:
 - Proof of sworn Affidavit from the natural parent confirming that the guardian is the natural parent of the minor, signed in front of an independent commissioner of oaths.
 - Proof of the natural parents' marriage certificate or copy of Sworn Affidavit from the natural parent confirming the marriage (signed in front of an independent commissioner of oaths). If the investment is made by a court appointed Guardian and not the natural parent(s) of the minor, the following documents must be provided:
 - Verified copy of proof of guardianship from the Master of the Supreme Court.
 - Verified copy of the minor's birth certificate.

Foreign nationals

- A certified copy of the investor's valid passport containing his/her photo, full names, date of birth and passport number.
- Proof of the investor's residential address* (eg a utility bill, bank statement, tax invoice, Telkom account, payslip or municipal rates invoice).
- Proof of the investor's bank account details* (eg a cancelled cheque or bank statement).
- For FATCA purposes - Where applicable, proof of the investor's South African income tax number* (eg a document issued by SARS containing the investor's income tax number).

* these documents must be less than three months old

Persons acting on behalf of the investor

This is applicable where a legal guardian or a person with power of attorney is acting on behalf of the investor.

- Proof of authority to act on behalf of the investor (eg power of attorney, mandate, resolution, court order).
- Proof of both the person and investor's South African identity documents (ID) containing their photos, full names, dates of birth and ID numbers (a valid passport or driver's licence will only be accepted if an ID is not available).
- Proof of both the person and investor's residential addresses* (eg a utility bill, bank statement, tax invoice, Telkom account, payslip or municipal rates invoice).
- Proof of both the person and investor's bank account details* (eg a cancelled cheque or bank statement).

* these documents must be less than three months old

Documents required for legal entities

South African companies

- Organogram structure to identify the ultimate beneficial owner or controlling person.
- Copies of the certificate of incorporation, notice of registered office and postal address stamped by the Registrar of Companies and signed by the Company Secretary.
- Confirmation of directors.
- Confirmation of shareholders.
- Proof of the company's trading name and business address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- A copy of the company's letterhead.
- Proof of the identity documents/passports of all directors and individuals who hold 5% or more of the voting rights at a general meeting.
- Proof of residential address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice) for all directors and individuals who hold 5% or more of the voting rights at a general meeting.

- Applicable documentation for institutions holding 5% or more of the voting rights at a general meeting.
- Proof of authority to act for the company (eg board resolution).
- Proof of the company's bank account details* (eg cancelled cheque or bank statement).
- For FATCA purposes - Proof of the company's income tax and VAT numbers (eg a document issued by SARS containing these numbers).

* these documents must be less than three months old

Foreign companies

- An official document from foreign regulators confirming the company's incorporation – the company's name, contact number and address must be included in the document.
- Proof of the company's South African and foreign trading names and business address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- Copies of the South African managers', directors' and authorised signatories' identity documents/passports.
- Copies of the identity documents/passports of all directors and individuals who hold 5% or more of the voting rights at a general meeting.
- Proof of residential address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice) for all directors and individuals who hold 5% or more of the voting rights at a general meeting.
- Applicable documentation for institutions holding 5% or more of the voting rights at a general meeting.
- Proof of authority to act for the company (ie board resolution).
- Proof of the company's bank account details* (eg cancelled cheque or bank statement).
- For FATCA purposes - Proof of the company's South African income tax and VAT numbers* (eg a document issued by SARS containing these numbers).

* these documents must be less than three months old

South African Close Corporations (CC)

- Copy of the founding statement or certificate of incorporation and amended founding statement, if applicable, stamped by the Registrar of Companies and signed by the authorised signatories.
- Proof of the CC's trading name and business address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- A copy of the CC's letterhead.
- Copies of all members' and authorised signatories' identity documents/passports.
- Proof of all members' and authorised signatories' residential addresses* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- Proof of authority to act for the CC (eg resolution).
- Proof of the CC's bank account details* (eg cancelled cheque or bank statement).

- For FATCA purposes - Proof of the CC's income tax and VAT numbers (eg a document issued by SARS containing these numbers).

* these documents must be less than three months old

Partnerships

- A certified copy of the partnership agreement.
- Proof of the business' trading name and address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- Certified copies of the identity documents/passports all of the partners, authorised signatories and persons exercising executive control.
- Proof of authority to act for the partnership (eg resolution).
- Proof of the business' bank account details* (eg cancelled cheque or bank statement).
- For FATCA purposes - Proof of the business' income tax and VAT numbers (eg a document issued by SARS containing these numbers).

* these documents must be less than three months old

Trusts

- A certified copy of the trust deed or other founding documents (eg will).
- A letter of authority to the trustees from the Master of the High Court (South African trusts) or a foreign regulator (foreign trusts).
- Copies of the identity documents/passports of the trust's founder, all trustees, beneficiaries and authorised signatories.
- Proof of residential address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice) for the trust's founder, all trustees, beneficiaries and authorised signatories.
- If the beneficiaries are not named, details of how beneficial interests may be determined must be provided.
- Applicable documents for institutional beneficiaries, any institutional founder or trust.
- If the founder is deceased or the entity no longer exists, a certified copy of the death certificate or certificate of deregistration must be provided.
- Proof of nomination and authority for the authorised signatories to act on the trust's behalf (eg resolution signed by the trustees).
- Proof of the trust's bank account details* (eg cancelled cheque or bank statement).
- For FATCA purposes - Proof of the trust's income tax number (eg a document issued by SARS containing this number).

* these documents must be less than three months old

Unincorporated entities

- A certified copy of the constitution or other founding documents in terms of which the entity was created.
- Copies of all authorised persons' identity documents/passports.
- Proof of residential address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice) for all authorised persons.
- Proof of authority to act on behalf of the entity.
- Proof of the entity's bank account details* (eg cancelled cheque or bank statement).
- For FATCA purposes - Proof of the entity's income tax and VAT numbers (eg a document issued by SARS containing these numbers).

* these documents must be less than three months old

Documents required for other entities

This includes clubs, associations, body corporates, retirement funds, etc.

- A certified copy of the constitution or other founding documents in terms of which the entity was created and/or regulated.
- Proof of the entity's trading name and business address* (eg utility bill, bank statement, tax invoice, Telkom account or municipal rates invoice).
- Copies of the authorised signatories' identity documents/passports and proof of residential address.
- Proof of authority to act for the entity.
- Proof of the entity's bank account details* (eg cancelled cheque or bank statement).

* these documents must be less than three months old

Acceptable documents for proof of residential address

For documents issued monthly, the document provided to Camissa cannot be older than three months. For documents issued on an annual basis, the document provided to Camissa cannot be older than 12 months. The items below are acceptable in terms of proof of residential address.

- Bank Statements must evidence an official bank stamp.
- Declaration from the clients Financial Advisor after an on-site visit - within three months of the on-site visit.
- Mortgage / home loan statement.
- Municipal rates and taxes invoice.
- Telephone or cellular account.
- Utility Bill reflecting Erf / stand no if sent to a PO Box.
- Valid TV licence.

Foreign Account Tax Compliance

- South Africa has entered into an intergovernmental agreement with the United States of America (USA). This requires South African financial institutions to comply with the Foreign Account Tax Compliance Act (FATCA).
- Additional information may be requested before your application will be processed.