

The Financial Intelligence Centre Act (FICA) requires Alfa Financials PTY Ltd., to establish and verify the identities and other details of all their clients. Please submit the following documentation required by us in order to comply with the obligations set out in FICA. The required documentation depends on the account type you wish to open:

1. South African Company

Please provide the following FICA documentation that apply to you in order to complete the account opening process:

- 1.1. Certification of Incorporation (CM1) or Registration Certificate (CoR 14.3) and certificate of name change, if applicable (CM9)
- 1.2. Proof of Registered Address (CM22) or (CoR 21)
- 1.3. Register of Directors (CM 29)
- 1.4. Certificate to Commence Business (46)
- 1.5. Proof of SA income tax reference number and VAT registration number as obtained from the South Africa Revenue Service (SARS).
- 1.6. Board Resolution appointing authorized person to establish a business relationship or to enter into a transaction with Alfa Financials Pty Ltd on behalf of the Company.
- 1.7. Copy of identity document* and proof of address** of each of the Directors and Shareholders of the Company and authorized person acting on behalf of the Company.
- 1.8. Proof of address in the name of the Business**
- 1.9. Proof of banking details: Cancelled cheque, and/or Bank Statement of the Company dated within the last 3 months of application.
- 1.10. The full names, date of birth, identity or registration number, nationality, address and/or legal form, as may be applicable, concerning the natural or legal person, partnership or trust holding 25% or more of the voting rights in the company

2. Closed Corporation

Please provide the following FICA documentation that apply to you in order to complete the account opening process:

- 2.1. Founding Statement (CK1) and an Amended Founding Statement (CK2) bearing the stamp of the Registrar of Close Corporations and signed by a member or employee of the close corporation, alternatively the equivalent document as issued by the Companies and Intellectual Property Registration Office may be used.
- 2.2. Proof of Trade name through an original company letterhead. **
- 2.3. Proof of Physical Address. In the event of the close corporation being operated from a member's residential address, the member's residential address verification document together with a written confirmation from them that the close corporation operates from their residential address is needed.
- 2.4. Proof of SA income tax reference number and VAT registration number as obtained from SARS.
- 2.5. Written confirmation authorizing a person to establish a business relationship or to enter into a transaction with Alfa Financials Pty Ltd on behalf of the Closed Corporation.

- 2.6. Copy of identity document* and proof of address** of each of the Members and Authorized Signatory of the Closed Corporation and authorized person acting on behalf of the Closed Corporation.
- 2.7. Proof of banking details: Cancelled cheque, and/or Bank Statement of the Closed Corporation dated within the last 3 months of application.
- 2.8. The full names, date of birth, identity or registration number, nationality, address and / or legal form, as may be applicable, concerning the natural or legal person, partnership or trust holding 25% or more of the voting rights in the closed corporation.

3. Partnership

Please provide the following FICA documentation that apply to you in order to complete the account opening process:

- 3.1. Partnership agreement or Constitution of the Partnership.
- 3.2. Proof of Partnership name through an original partnership letterhead.**
- 3.3. Written confirmation authorizing a person to establish a business relationship or to enter into a transaction with Alfa Financials Pty Ltd on behalf of the Partnership.
- 3.4. The full names, date of birth, identity or registration number, nationality, addresses and/or legal form, as may be applicable, concerning every partner, including every member of a partnership; the person who exercises executive control over the partnership; each natural person who purports to be authorized to establish a business relationship or to enter into a transaction with Alfa Financials Pty Ltd. on behalf of the partnership.
- 3.5. Copy of Identity document* and proof of address** for all partners and authorized person acting on behalf of the Partnership.
- 3.6. Proof of SA income tax reference number and VAT registration number as obtained from SARS.
- 3.7. Proof of banking details: Cancelled cheque, and/or Bank Statement of the Partnership dated within the last 3 months of application.

***The following Identification documents are Accepted:**

- SA Barcoded ID

When ID is not available, please provide one of the following:

- Valid Signed Passport; or
- Valid Driver's License; or
- Birth Certificate.

**** The following proof of Address and/or Trade Name is accepted:**

- Utility bill (dated within the last 3 months of application)

When Utility bill is not available, please provide one of the following to verify your proof of residence:

- A valid Lease Agreement; or
- Insurance certificate; or
- Mortgage statement (dated within the last 3 months of application); or
- A landline telephone bill (dated within the last 3 months of application); or
- A television license document (dated within the last 3 months of application); or
- A municipal tax invoice (dated within the last 3 months of application); or
- A document or letter issued by SARS (dated within the last 3 months of application).; or
- A bank letter or statement confirming the address (dated within the last 3 months of application).