

The Financial Intelligence Centre Act (FICA): Client Due Diligence (CDD) Other Legal Persons

Client Identity/Registration Number

(Examples: Schools, Churches, Stokvels, Municipalities, Clubs, Non-Profit Organisations, Public Sector Entities/Government Departments, Semi-Public Entities, Deceased Estates, Insolvent Estates, Liquidators, Curators, etc.)

To comply with money laundering regulations, we require certain identification details and documents to be in place in order for an application to be processed. Incomplete details and documentation will delay the processing of an application and a business relationship cannot be formed until all documentation including any additional information (if requested), has been provided.

This form is to be completed when an application/alteration form does not provide for the required details.

Important:

Please submit the supporting documentation with this form.

For the purpose of this form:

- The term Policyholder also refers to Investment Owner and Contract Owner.
- The term Contribution Payer also refers to Premium Payer and Fund Provider.

1: Information of policyholder/outright cessionary/contribution payer/person acting on behalf of _____

Are you already a client? Yes No Momentum Metropolitan

1.1 Basic information

Registered name

Registered address Unit number (if applicable) Complex (if applicable)

Street number Street name or name of farm

Suburb or district

City or town Postal code

Country South Africa Z A If not South Africa [ZA], please specify the country code

Legal form (e.g. schools, churches, stokvels, municipalities, clubs, deceased estate)

Purpose of the entity's activities

Number of representatives

VAT reference number

If no VAT reference number, please give reason

1.2 Additional information

1.2.1 Details of the authorised representatives to act/transact on behalf of the entity

1. Full names				2. Full names			
Identity/Passport number	<input type="text"/>	Identity/Passport number	<input type="text"/>	Physical address	<input type="text"/>	Physical address	<input type="text"/>
Capacity/Designation	<input type="text"/>	Capacity/Designation	<input type="text"/>	PEP	<input type="text"/>	PEP	<input type="text"/>
PEP	Yes <input type="text"/> No <input type="text"/>	PEP	Yes <input type="text"/> No <input type="text"/>	DPIP	Yes <input type="text"/> No <input type="text"/>	DPIP	Yes <input type="text"/> No <input type="text"/>
DPIP	Yes <input type="text"/> No <input type="text"/>	DPIP	Yes <input type="text"/> No <input type="text"/>	FPPO	Yes <input type="text"/> No <input type="text"/>	FPPO	Yes <input type="text"/> No <input type="text"/>
FPPO	Yes <input type="text"/> No <input type="text"/>	FPPO	Yes <input type="text"/> No <input type="text"/>				

3. Full names												4. Full names											
Identity/Passport number												Identity/Passport number											
Physical address												Physical address											
Capacity/Designation												Capacity/Designation											
PEP	Yes			No								PEP	Yes			No							
DPIP	Yes			No								DPIP	Yes			No							
FPPO	Yes			No								FPPO	Yes			No							
5. Full names												6. Full names											
Identity/Passport number												Identity/Passport number											
Physical address												Physical address											
Capacity/Designation												Capacity/Designation											
PEP	Yes			No								PEP	Yes			No							
DPIP	Yes			No								DPIP	Yes			No							
FPPO	Yes			No								FPPO	Yes			No							

1.3 Anti-money laundering provisions

1.3.1 Source of Income/Wealth* (Policyholder)

Nature of entity's business

Source of income/wealth is defined as funds received on a regular basis for work/services rendered or investment income.

1.3.2 Source of funds for investment/transaction* (Contribution payer)

<input type="checkbox"/> Business profits	Name of business	<input type="text"/>
<input type="checkbox"/> Sale of property	Address of sold property	<input type="text"/>
<input type="checkbox"/> Sale of assets	Description of what was sold	<input type="text"/>
<input type="checkbox"/> Sale of business	Registration number	<input type="text"/>
<input type="checkbox"/> Investment Savings	Source of capital/savings	<input type="text"/>
	Name of investment company	<input type="text"/>
	Account/contract number where the funds are held	<input type="text"/>
<input type="checkbox"/> Donation	Source of donation	<input type="text"/>
<input type="checkbox"/> Other	Specify	<input type="text"/>

* The source of funds funding the transaction or new business investment will not always correspond with the source of income/wealth, e.g. an employed person may sell his/her property and invest the capital gained.

2: Verification documents

2.1 Verification of name and legal form

2.1.1 Deceased estate

2.1.1.1 Letter of executorship and death certificate;
2.1.1.2 A written authority that the executor (if applicable) signed.

2.1.2 Unincorporated business

2.1.2.1 Founding document;
2.1.2.2 A written authority that each participant signed.

2.1.3 Club or association

2.1.3.1 Constitution or founding document;
2.1.3.2 A resolution that members signed to authorise the representatives.

2.1.4 Public sector entity

2.1.4.1 Document which established the entity;
2.1.4.2 A written confirmation from the authorised person (depending on legislation) reflecting the name of the authorised representative.

2.1.5 Government/Municipalities/City Councils

2.1.5.1 A formal delegation of authority or resolution of confirmation from the authorised persons appointing the authorised representative, to act on behalf of the entity.
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2.1.6 Pension and Provident funds

2.1.6.1 Document or certificate which established the entity;
2.1.6.1 A written confirmation from the authorised person (depending on legislation) reflecting the name of the authorised representative.

2.1.7 Non-Profit Organisations

2.1.7.1 Document which established entity or certificate of incorporation;
2.1.7.2 A written confirmation from the authorised person (depending on legislation) reflecting the name of the authorised representative.
2.1.7.3 TAX/SARS exemption certificate

2.2 Verification of each person authorised to act/transact with Momentum, Metropolitan on behalf of the entity

2.2.1 Please complete the checklist applicable to natural persons - FICA 001 (Section 1.1 & 1.2 & Section 2.1) for each authorised representative.
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2.3 Verification of address and legal form

Please attach one of the following, reflecting the legal name and business address:

2.3.1 A city council/municipal/electricity provider/utility/service bill (less than 3 months old); or
2.3.2 A lease or rental agreement/rental contract renewal (less than 12 months old); or
2.3.3 A property rates and taxes invoice (less than 3 months old); or
2.3.4 A mortgage statement (less than 3 months old); or
2.3.5 A Telkom land line, fiber or ADSL account (less than 3 months old); or
2.3.6 A short-term insurance schedule (less than 12 months old); or
2.3.7 Correspondence from a body corporate/share-block association (less than 3 months old); or
2.3.8 A bill/statement from a company contracted for an ongoing service at the property given as the business address. Examples of such services are security monitoring and armed response services that are regularly billing the business (less than 3 months old); or
2.3.9 A bank statement (less than 3 months old); or
2.3.10 Mobile account from service provider (less than 3 months old).

3: Verification of bank details

- If the account is not in the name of the policyholder, please complete and provide the documentation in accordance with the appropriate FICA checklists on the account holder (e.g. CC, Trust, Other legal entity, etc.).
- No payment received from a third party will be invested until the required documentation is received and reviewed.

3.1 Provide your bank account details if you have selected to have your contributions (single or recurring) collected from your bank account

Name of account holder

Name of bank

Branch code Branch name

Account number

Account type Current/Cheque Savings

3.2 If funds are paid directly into a Momentum or Metropolitan bank account

A proof of deposit is required and must indicate:

From which institution was the deposit made

Date of deposit D D M M Y Y Y Y Amount deposited

Source (account number) from where the funds originated

Name of account holder

The contract number for which the funds are intended

** We will not make payments to credit cards, market-linked accounts or third party accounts. Payments can only be made to the Policyholder's own bank account. No third party payments are permitted.

4: Protection of Personal Information

Momentum, Metropolitan are required to collect relevant information from each client for anti-money laundering and prevention of terrorist financing, for tax purposes according to the Intergovernmental Agreement ("the IGA"), and for reporting on these clients to the South African authorities where necessary.

We also collect personal information about you to offer you the best service. Your information is used for administrative, operational, audit, marketing, research, legal, statutory and record keeping purposes. We will take all reasonable steps necessary to secure the integrity of any personal information which we hold about you and to safeguard it against unauthorised access. We will not share this information outside of Momentum, Metropolitan, its associated groups or agents, without your explicit consent.

If you do not consent to us using your personal information, there may be delays for you or some instructions might not be carried out. You can have access to your information at any time and ask us to correct any information we have in our possession. Please feel free to write to us to obtain a copy of this information of which copies will be kept for a period of five years or more, as required by law.

5: Signature of client specified in Section 1

Name and surname of authorised signatory

Signature of authorised signatory

Date D D M M Y Y Y Y