

The Financial Intelligence Centre Act (FICA): Client Due Diligence (CDD) Private Company

Client Identity/Registration Number							

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 policyhold	ler/out	right	cessi	ona	ary/c	ontr	ribu	tion _l	oaye	er/p	ers	on a	ctin	g o	n be	ehal	f of				
Are you already a client?	Yes		No			Mome	entur	n			Met	ropolit	tan								
1.1 Basic information																					
Registered name																					
Business status	In bus	iness					De	eregiste	ered					\	Volur	itary	liquida	ation			
Registration number												Date	regis	tered		D	M	/ Y	Υ	Υ	Υ
Name of entity/Trade name (If different from	n register	ed nam	ne)																		
Enterprise type	Conver	ted Clo	osed Co	rpor	ration			Publi	c con	npan	y			1	Non p	orofit	orgar	isatio	n		
Region	Wester	n Cape	Э				No	rthern	Сар	Э				E	Easte	rn C	аре				
	North V	Vest					Мр	oumala	inga					I	Limpo	эро					
	Gauter	ıg					Fre	ee Sta	te						Kwa	zulu-	Natal				
Physical Busines Address	Unit nun	nber (if	applicab	ole)				Co	mple	x (if a	applic	able)									
	Street n	umber					Stre	et nar	ne or	nam	e of	farm									
Suburb or district																					
City or town															F	osta	I code				
Country	South A	Africa	Z	Α		If	not S	South A	Africa	[ZA]], ple	ase s	pecify	the	cour	itry c	ode				
Is the postal address the same as the bus	siness' pl	nysical	addres	s?	Yes			No		If no	o, pl	ease (comp	lete	the p	osta	addr	ess.			
Postal address	PostNet	Suite/I	PO Box	/Priv	vate B	Bag															
Suburb or district																					
City or town															F	osta	I code	!			
Country	South A	Africa	Z	Α		lf	not S	South A	\frica	[ZA]], ple	ase s	pecify	the	cour	itry c	ode				
Is the business the owner/tenant of the ab	ove prop	oerty, fi	rom whe	ere i	t is op	oeratii	ng?	C	wner			Te	enant								
* Ensure that the business' physical addr	ess deta	ils on a	applicat	ion f	form i	match	nes tl	he ado	ress	verif	icati	on do	cume	nts p	orovi	ded.					
Purpose of company's activities																					
VAT reference number																					
If no VAT reference number, please give r	eason																				

Client Identity/Registration Number															
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1.2 Additional information

All individuals ultimately holding a material interest in the capital of the company have to be identified and will require individual identity verification.

1.2.1 Details of Chief Executive Officer (CEO)/Managing Director (MD)/Directors

1. Full names			2. Full names		
Identity/Passport number			Identity/Passport number	er	
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
3. Full names			4. Full names		
Identity/Passport number			Identity/Passport number	er	
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	er	
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

1.2.2 Details of employees/persons authorised to act/transact with Momentum, Metropolitan on behalf of company

1. Full names			2. 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	
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	

Client	Identity/Registration Number							

5. Full names				6. Full names			
Identity/Passport number				Identity/Passport number	er		
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	

1.2.3 Details of legal and natural persons, partners and trusts, holding more than 25% shareholding or the voting rights at general meetings of the company (Ultimate Beneficial Ownership)

1. Full names				2. Full names				
Identity/Passport/ Registration number				Identity/Passport/ Registration number				
Physical address				Physical address				
Percentage			%	Percentage			%	
Capacity/Designation				Capacity/Designation				
PEP	Yes	No		PEP	Yes	No		
DPIP	Yes	No		DPIP	Yes	No		
FPPO	Yes	No		FPPO	Yes	No		
3. Full names				4. Full names				
Identity/Passport/ Registration number				Identity/Passport/ Registration number				
Physical address				Physical address				
Percentage			%	Percentage			%	Υ
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/ Registration number				Identity/Passport/ Registration number				
Physical address				Physical address				
Percentage			%	Percentage			%	Y
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)

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

		Client Identity/Regist	ration Number						
1.3.2 Source of funds for in	nvestment/transaction* (Contribu	ition payer)							
Business profits	Name of business	.							
Sale of property	Address of sold pro								
Sale of assets	Description of wha								
Sale of business	Registration numb								
Investment Savings	Source of capital/s								
mivesument davings	Name of investmen								
		number where the fund	ds are held						
Sale of shares		intity of shares sold							
Donation	Source of donation								
Other	Specify								
	the transaction or new business	s investment will not a	wave correspon	d with th	e sourc	e of incom	ne/wealth e	a an emi	nloved
2: Verification doc2.1 Verification of regi	cuments istered name, number and a	address							
CM 1 and/or CM	1 22 CM 29 and/o	or COR 15	COR 21	and/or		COR 39	and/or	COR	14.3
Note: CIPC printouts as proo	of of registration may not be older	r than three (3) month	S.						
Verification of each property of the second se	ecklist applicable to natural person authorised to act/transact the board authorising the conclusion company (less than 3 months of the checklist applicable to naturate Beneficial Ownership	with Momentum, Metron of the contract and rid); and	opolitan on beha	alf of the	compar	ny uthorised	to conclude		action
	r natural persons, partners or tru	ists entitled to exercise	e 25% or more o	f the voti	ng right	s at the g	eneral mee	ings of the	
2.2.1.1 Latest structure									е
0.0401-4-1 ":::	chart of entity.								е
2.2.1.2 Latest audited F	chart of entity. Financial Statements.								e
	•	ucture.							e
2.2.1.3 Rationale for the	Financial Statements.	ucture.							e
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director	Financial Statements. e company and details of the stru								e
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirmation	inancial Statements. e company and details of the struor and shareholder register.	ng.	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirma 2.2.2 Verification of legal or company	Financial Statements. e company and details of the struor and shareholder register. ation of the company shareholding	ng. ists entitled to exercise	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirmation 2.2.2 Verification of legal or company 2.2.2.1 Natural persons	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding ar natural persons, partners or true	ng. sts entitled to exercise Section 2.1).	e 25% or more o	f the voti	ing right	s at the g	eneral mee	ings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirma 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani	r natural persons, partners or tru	ng. sts entitled to exercise Section 2.1). & Section 2.1).	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Directe 2.2.1.5 Written confirma 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani 2.2.2.3 Closed Corporat	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding register are natural persons, partners or trues. FICA 001 (Section 1.1 & 1.2 & 1.	rig. Section 2.1). Section 2.1). Section 2.1).	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirmate 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani 2.2.2.3 Closed Corporate 2.2.2.4 Other legal pers	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding register. It natural persons, partners or trues FICA 001 (Section 1.1 & 1.2 & 1.	ng. Section 2.1). Section 2.1). Section 2.1). Section 2.1). Section 2.1).	25% or more o	f the voti	ng right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirma 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani 2.2.2.3 Closed Corporat 2.2.2.4 Other legal pers 2.2.2.5 Trusts - FICA 00	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding register at register. FICA 001 (Section 1.1 & 1.2 &	rig. Section 2.1). Section 2.1). Section 2.1). Section 2.1). Section 2.1). Section 2.1). Section 2.1).	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirmate 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani 2.2.2.3 Closed Corporate 2.2.2.4 Other legal pers 2.2.2.5 Trusts - FICA 00 2.2.2.6 Partnerships - F	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding register. at natural persons, partners or trues. FICA 001 (Section 1.1 & 1.2 & ies - FICA 002 (Section 1.1 & 1.2 & ies - FICA 003 (Section 1.1 & 1.2 & ies - FICA 004 (Section 1.1 & 1.2 & ies - FICA 004 (Section 1.1 & 1.2 & ies - FICA 004 (Section 1.1 & 1.2 & ies - FICA 004 (Section 1.1 & 1.2 & ies - FICA 005 (Section 1.1 & 1.2 & ies - F	ng. Section 2.1). 2 & Section 2.1). 1.2 & Section 2.1). 2.2 & Section 2.1). 2.1 & 2.2). Section 2.1).	e 25% or more o	f the voti	ng right	s at the g	eneral mee	tings of the	
2.2.1.3 Rationale for the 2.2.1.4 A copy of Director 2.2.1.5 Written confirmate 2.2.2 Verification of legal or company 2.2.2.1 Natural persons 2.2.2.2 Private compani 2.2.2.3 Closed Corporate 2.2.2.4 Other legal pers 2.2.2.5 Trusts - FICA 00 2.2.2.6 Partnerships - F	Financial Statements. e company and details of the structor and shareholder register. ation of the company shareholding register. ation of the company shareholding register. FICA 001 (Section 1.1 & 1.2 & ies - FICA 002 (Section 1.1 & 1.2 & ies - FICA 003 (Section 1.1 & 1.2 & ies - FICA 004 (Section 1.1 & 1.2 & ies - FICA 006 (Section 1.1 & 1.2 & Section 2.1 & 1.2 & Section 2.1 & 1.2 & Section 2.1 & 1.2 & Section 3.1 &	ng. Section 2.1). 2 & Section 2.1). 1.2 & Section 2.1). 2.2 & Section 2.1). 2.1 & 2.2). Section 2.1).	e 25% or more o	f the voti	ing right	s at the g	eneral mee	tings of the	

Client Identity/Registration Number							

2.3 Verification of trade name and business address

Please attach one of the following, reflecting the trade 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	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 Bank account statement (less than 3 months old); or
2.3	10 A document from SARS (less than 3 months old); or
2.3	11 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:

A proof of deposit is required and infust indicate.								
From which institution was the deposit r	nade							
Date of deposit	D D M M Y Y Y Y	Amount deposited						
Source (account number) from where the	e funds originated							
Name of account holder								
The contract number for which the fund	s 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.

Client Identity/Registration Number														
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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 specif	ed in Section 1		
Name	and surname of authorised signator	<i>i</i>		
Si	ignature of uthorised signatory		Date	

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