

NATURAL PERSONS: NAMIBIA CITIZENS/RESIDENTS

Information to be obtained	Acceptable verification documents
Full Names	Identity document
Date of Birth	Identity document
Identity Number	Identity document
Residential Address	<p>A utility or other account bearing the name of the natural person and reflecting the physical address where a service is being rendered.</p> <ul style="list-style-type: none"> • A recent lease/rental agreement; • Mortgage statement from a bank; • Municipal rates and taxes; • Telephone account; • A Short term insurance schedule reflecting the risk address. <p><i>If none of these documents are available:</i></p> <ul style="list-style-type: none"> • A staff member may complete a certification of physical address report. • The client can make a sworn affidavit regarding his/her physical address. <p><i>Documentation older than 3 MONTHS will not be acceptable</i></p>
Income Tax Registration number (<i>Currently Exempted – provide if available</i>)	Any official REVENUE document reflecting the natural persons’ name and income tax number.

“KNOW YOUR CLIENT” CHECKLIST B

NATURAL PERSONS: FOREIGN NATIONALS

Information to be obtained	Acceptable verification documents
Full Names	Passport
Date of Birth	Passport
Nationality	Passport
Passport Number	Passport
South African tax registration number	Any official REVENUE document reflecting natural persons' name and income tax number.
Residential address	<p><i>Any one of the following documents reflecting the client's name and residential address were the service is delivered:</i></p> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.
Income Tax Registration number (<i>Currently Exempted – provide when available</i>)	Any official REVENUE document reflecting the natural persons' name and income tax number.

“KNOW YOUR CLIENT” CHECKLISTS C

LEGAL PERSONS: CLOSE CORPORATIONS & SA COMPANIES:

Information to be obtained	Acceptable verification documents				
Registered name of the Company or Close Corporation	Most recent version of the CM1 or CK1 (Certificate of Incorporation)				
Registration number under which the Company or CC is incorporated	Most recent version of the CM1 or CK1 (Certificate of Incorporation)				
Registered address of the Company or Close Corporation	Most recent version of the CM22 or CK 2 (Notice of Registered Office and Postal Address) and <u>one</u> of the following: <ul style="list-style-type: none"> • A utility or other account bearing the name of the Company or CC reflecting the physical address where a service is being rendered. • A Telephone account • A Short term insurance schedule reflecting the risk address. Public Listed Companies are exempt.				
Name (<i>Trading</i>) under which Company or Close Corporation conducts business	An Account bearing the name of the Company or Close Corporation.				
Address from which the Close Corporation or Company operates, or if it operates from multiple addresses: <ul style="list-style-type: none"> • The address of the office seeking to establish a business relationship of single transaction; AND • The address of its head office. 	Any one of the following documents reflecting the client’s name and residential address were the service is delivered: <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address. 				
Income Tax and VAT Registration Number of the Close Corporation or Company.	Any official document reflecting client income tax number.				
<p><u>In the case of a Company:</u></p> <table style="border: none;"> <tr> <td style="border: none;">Full Names; Date of Birth; Identity Number; OR Full Names; Date of Birth; Name of Country;</td> <td style="border: none; padding-left: 10px;">} <i>Natural Person</i></td> </tr> <tr> <td style="border: none;">} <i>Foreign National</i></td> <td style="border: none;"></td> </tr> </table> <p>OF</p> <ul style="list-style-type: none"> • The <i>manager of the Company</i>, and • Each <i>Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the Company. • Each <i>Natural or Legal Person, partnership or Trust holding 25% or more of the voting rights</i> at the general meeting of the company. 	Full Names; Date of Birth; Identity Number; OR Full Names; Date of Birth; Name of Country;	} <i>Natural Person</i>	} <i>Foreign National</i>		<ul style="list-style-type: none"> • ID Document • CM 29 document issued by the Registrar confirming appointment of Company Directors • Passport • Resolution/mandate authorizing the mandated officials to establish the business relationship. • Most recent version of the CM1 or CK1 (Certificate of Incorporation)
Full Names; Date of Birth; Identity Number; OR Full Names; Date of Birth; Name of Country;	} <i>Natural Person</i>				
} <i>Foreign National</i>					

Residential Address; and Contact Particulars OF <ul style="list-style-type: none"> • The Manager; • Each natural or legal person holding more than 25% voting rights at a general meeting of the company; • Each natural person who can act on behalf of the company (i.e. directors). 	<i>Any one of the following documents reflecting the name and residential address were the service is delivered:</i> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.
<u>In the case of a Close Corporation:</u> Full Names; Date of Birth; Identity Number; OR	<ul style="list-style-type: none"> • ID Document
Full Names; Date of Birth; Name of Country; OF	<ul style="list-style-type: none"> • Passport
<ul style="list-style-type: none"> • <i>Each member</i>; and • Each <i>Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the CC. 	<ul style="list-style-type: none"> • Resolution/mandate authorizing the mandated officials to establish the business relationship.
Residential Address; and Contact Particulars OF <ul style="list-style-type: none"> • <i>Each member</i>; and • <i>Each Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the Close Corporation. 	<i>Any one of the following documents reflecting the client's name and residential address were the service is delivered:</i> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.

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LEGAL PERSONS: FOREIGN COMPANIES:

Information to be obtained	Acceptable verification documents
Name and Number under which it is incorporated; The address where it is situated for purposes of its incorporation.	Official document issued by an authority for recording the incorporation of companies of the country of origin, bearing its: registered name, number and address.
The name under which it conducts business in the country where it is incorporated; The name under which it conducts business in the Republic; The address from which it operates in the country where it is incorporated, or if it operates from multiple addresses the address of its head office; The address from which it operates in the Republic, or if it operates from multiple addresses the address of the office seeking to establish a business relationship/single transaction	<i>Any one of the following documents reflecting the name and residential address were the service is delivered:</i> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; Short Term Insurance Schedule reflecting Risk address.
The income tax and VAT number of the Company (Currently exempted, but provide if available)	Official REVENUE Document.
Full Names; Date of Birth; Natural Person Identity Number; OR Full Names; Foreign National Date of Birth; Name of Country; OF <ul style="list-style-type: none"> • The <i>manager</i> in respect of its affairs in South Africa; and • Each <i>Natural</i> person who is authorized to establish a business relationship or single transaction on behalf of the Foreign Company; • Each Natural or Legal Person, partnership or Trust holding <i>25% or more of the voting rights</i> in the foreign company. 	<ul style="list-style-type: none"> • Identity Document • Passport • Resolution/mandate authorizing the mandated officials to establish the business relationship.
Residential Address; and Contact Particulars OF <ul style="list-style-type: none"> • The <i>Manager</i> in respect of its affairs in the Republic; • Each Natural or legal person or trust holding <i>25% or more of the voting rights</i> in the company; and • Each <i>Natural person</i> who is authorized to 	<i>Any one of the following documents reflecting the name and residential address were the service is delivered:</i> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.

establish a business relationship or single transaction on behalf of the Foreign Company.

“KNOW YOUR CLIENT” CHECKLISTS E

OTHER LEGAL PERSONS: (Pension OR Provident Fund)

Information to be obtained	Acceptable verification documents
Name of the Legal Person	<ul style="list-style-type: none"> • Constitution OR Finding Document of Legal person.
Its Legal Form	<ul style="list-style-type: none"> • Constitution OR Finding Document of Legal person.
Address from which the Legal Person operates	<p><i>Any one of the following documents reflecting the name and residential address were the service is delivered:</i></p> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.
Income Tax Registration Number of the Legal Person	<ul style="list-style-type: none"> • Any REVENUE document bearing such a number.
<p>Full Names; Date of Birth; Identity Number;</p> <p style="text-align: center;">OR</p> <p>Full Names; Date of Birth; Name of Country;</p> <p style="text-align: center;">OF</p> <p><i>Each mandated official who is authorized to establish a business relationship or single transaction on behalf of the Legal person.</i></p>	<ul style="list-style-type: none"> • Identity Document • Valid Passport • Resolution/mandate authorizing the mandated official to establish the business relationship.
<p>Residential Address; and Contact Particulars</p> <p style="text-align: center;">OF</p> <p><i>Each mandated official who is authorized to establish a business relationship or single transaction on behalf of the Legal person.</i></p>	<p><i>Any one of the following documents reflecting the name and residential address were the service is delivered:</i></p> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.
Income Tax Registration Number of the Trust <i>(Currently Exempted, but provide if readily available)</i>	Any Revenue document bearing such a number.

“KNOW YOUR CLIENT” CHECKLISTS F

TRUSTS:

Information to be obtained	Acceptable verification documents
Name and number of the trust	<ul style="list-style-type: none"> • Trust deed; • Authorization given by Master of the High Court to each Trustee.
The address of the Master of the High Court where the trust is registered.	<ul style="list-style-type: none"> • Authorization given by Master of the High Court to each Trustee.
Particulars of how the beneficiaries are determined.	<ul style="list-style-type: none"> • Trust deed.
Full Names; Date of Birth; <i>(If a Natural Person)</i> Identity Number; <p style="text-align: center;">OR</p> Full Names; Date of Birth; <i>(If a Foreign National)</i> Name of Country; <p style="text-align: center;">OF</p> <ul style="list-style-type: none"> • Each <i>Trustee</i> of the Trust; and • Each <i>Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the trust; • Each <i>Beneficiary</i> of the Trust referred to by name in the Trust deed OR Particulars of how the Beneficiaries of the Trust are determined. • The <i>Founder</i> of the Trust. 	<ul style="list-style-type: none"> • Identity Document • Valid Passport • Resolution/Mandate authorizing the person to establish the transaction or business relationship.
Residential Address, and Contact Particulars OF <ul style="list-style-type: none"> • Each <i>Trustee</i> of the Trust; • Each <i>Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the trust; • Each <i>Beneficiary</i> of the Trust referred to by name in the Trust deed; The <i>Founder</i> of the Trust.	<i>Any one of the following documents reflecting the name and residential address where the service is delivered:</i> <ul style="list-style-type: none"> • Municipal rates and taxes invoice; • Recent lease or rental agreement; • Telephone Account; • Mortgage Statement from Bank; • Short Term Insurance Schedule reflecting Risk address.
Income Tax Registration Number of the Trust <i>(Currently Exempted, but provide if readily available)</i>	Any REVENUE document bearing such a number.

“KNOW YOUR CLIENT” CHECKLISTS G

PARTNERSHIPS:

Information to be obtained	Acceptable verification documents
Name of the Partnership	<ul style="list-style-type: none"> • Partnership Agreement • Written agreement by all partners confirming there is no partnership agreement.
Full Names; Date of Birth; Identity Number; <i>(If Natural Person)</i> <p style="text-align: center;">OR</p> Full Names; Date of Birth; <i>(If Foreign National)</i> Name of Country; <p style="text-align: center;">OF</p> <ul style="list-style-type: none"> • Every <i>Partner</i>; • The Person who exercises <i>executive control</i> over the partnership; and • <i>Each Natural person</i> who is authorized to establish a business relationship or single transaction on behalf of the partnership. 	<ul style="list-style-type: none"> • Identity Document if RSA Citizen/Resident • Passport if Foreign National • Resolution/Mandate of person exercising executive control. <p><i>(Do not need to verify business address, but provide if readily available.)</i></p>