



## Know-Your-Shareholder Documentation Registration and Verification

- **All the documents must be originally certified copies.** Documents requiring certification must be certified by an independent commissioner of oaths.
- **An official South African identity document is considered to be a green, bar-coded identity document.** A certified copy of an identification document must reflect a clear picture, which is a reasonable likeness of the individual. **The submission of unclear or uncertified documents will result in a delay in processing an account opening request.**
- Documentation must be sent to us in either one of the following ways:
  - Registered Post:** The Trading Helpdesk, PO Box 1266, Bramley, 2018
  - Courier or By Hand:** The Trading Helpdesk, 71 Corlett Drive, Birnam, 2196
  - Email:** yeboyethu@equityexpress.co.za
  - Fax:** 011 321 5663
- Documentation sent to us electronically via email and fax must be accompanied by an **electronic transmission coversheet.**

### Individual

- Identification document and/or birth certificate (if a minor);
- Proof of residence e.g. a utility bill (not older than 3 months);
- Proof of bank account details of the individual e.g. a bank-stamped bank statement (not older than 3 months) or a letter on bank letterhead signed and stamped by the bank (not older than 3 months);
- Sworn affidavit declaring your status as a Black Person (for new applicants only);
- Affidavit confirming the individual's status as a "Black New Entrant" (if applicable);
- Document issued by SARS to verify the individual's tax reference number (**where one has been issued**); and
- Proof of guardianship, **if applicable**:

#### Parents of a minor

- Identification document of the parent/natural guardian;
- Proof of residence e.g. a utility bill (not older than 3 months);
- Written confirmation from the parent/natural guardian, stating the capacity in which (s)he is signing; and
- Court order in the case of parents who are separated where the court has ruled that either one or both of them shall be guardians of the minor, if available.

#### Relative or legal guardian

- Identification document of the relative/legal guardian;
- Proof of residence e.g. a utility bill (not older than 3 months);
- Letters of guardianship/authority; and
- Court order appointing such relative as the legal guardian of the minor, if available.

#### Foster parent

- Identification document of the foster parent/legal guardian;
- Proof of residence e.g. a utility bill (not older than 3 months);
- Court order appointing such foster parent as the legal guardian of the minor; and
- Letters of guardianship/authority appointing such foster parent as the legal guardian of the minor (this authority will be additional to appointment as foster parent).

#### Person acting on behalf of a legally incapacitated individual

- Identification document of the authorised person;
- Proof of residence e.g. a utility bill (not older than 3 months); and
- Proof of authority to act, i.e. power of attorney, mandate, resolution, court order.

### Company

- Certificate of incorporation (CM1) or Registration Certificate (CoR14.3), issued by the Companies and Intellectual Property Commission and signed by the company secretary;
- Notice of registered office and postal address (CM22), or Notice of change of registered address (CoR21), **if applicable**;
- Proof of physical address from which the company operates e.g. a utility bill (not older than 3 months);
- Letter from the company's accountant / auditor / company secretary listing all shareholders who hold 25 % or more, of the voting rights at an AGM of the company;
- Identification document of natural persons holding 25% or more of the voting rights in the company, **if applicable**;
- Certificate of incorporation (CM1) or Registration Certificate (CoR14.3), issued by the Companies and Intellectual Property Commission and signed by the company secretary, of companies holding 25% or more of the voting rights in the company, **if applicable**;
- Certificate of incorporation (CK1) of CCs holding 25% or more of the voting rights in the company, **if applicable**;
- Trust deed of trusts holding 25% or more of the voting rights in the company, **if applicable**;

- Founding statement or Constitution of partnerships holding 25% or more of the voting rights in the company, **if applicable**;
- Proof of bank account details of the company e.g. a bank-stamped bank statement (not older than 3 months) or a letter on bank letterhead signed and stamped by the bank (not older than 3 months);
- Identification document of the authorised person (official South African identity document or an unexpired passport);
- Proof of residence of the authorised representative e.g. a utility bill (not older than 3 months);
- Identification document of the principal manager of the company (e.g. the Managing Director or Chief Executive Officer);
- Board resolution giving authorisation for the representative to sign documentation and give instructions on the company's account;
- Affidavit confirming the company's status as a "Black New Entrant" (if applicable);
- Document issued by SARS to verify the company's tax reference number (**where one has been issued**); and
- Current and valid BEE ownership certificate from a SANAS accredited BEE verification agency or an accredited IRBA member that shows that the company is at least 50.1% black-owned (economic interest) and that specifically makes reference to the Flow-Through Principle having been utilised in the verification of the company.

### Close Corporation

- Certificate of incorporation (CK1);
- Amended founding statement form (CK2), **if applicable**, bearing stamp of Registrar of Close Corporations and signed by a member;
- Proof of physical address from which the CC operates e.g. a utility bill (not older than 3 months);
- Proof of bank account details of the CC e.g. a bank-stamped bank statement (not older than 3 months) or a letter on bank letterhead signed and stamped by the bank (not older than 3 months);
- Identification document of each member;
- Identification document of the authorised person;
- Proof of residence of the authorised representative e.g. a utility bill (not older than 3 months);
- Binding resolution giving authorisation for the representative to sign documentation and give instructions on the CC's account;
- Affidavit confirming the CC's status as a "Black New Entrant" (if applicable);
- Document issued by SARS to verify the CC's tax reference number (**where one has been issued**); and
- Current and valid BEE ownership certificate from a SANAS accredited BEE verification agency or an accredited IRBA member that shows that the CC is at least 50.1% black-owned (economic interest) and that specifically makes reference to the Flow-Through Principle having been utilised in the verification of the CC.

### Trust

- Trust deed or other founding document;
- Letters of authority issued by the Master of the South African High Court for each trustee to act;
- Proof of bank account details of the trust e.g. a bank-stamped bank statement (not older than 3 months) or a letter on bank letterhead signed and stamped by the bank (not older than 3 months);
- Identification document of each trustee;
- Identification document of each beneficiary;
- Identification document of the authorised person;
- Proof of residence of authorised representative e.g. a utility bill (not older than 3 months);
- Binding resolution giving authorisation for the representative to sign documentation and give instructions on the trust's account;
- Affidavit confirming the trust's status as a "Black New Entrant" (if applicable);
- Document issued by SARS to verify the trust's tax reference number (**where one has been issued**); and
- Current and valid BEE ownership certificate from a SANAS accredited BEE verification agency or an accredited IRBA member that shows that the trust is at least 50.1% black-owned (economic interest) and that specifically makes reference to the Flow-Through Principle having been utilised in the verification of the trust.

### Partnership / Group

- Founding statement or Constitution;
- Proof of bank account details of the group e.g. a bank-stamped bank statement (not older than 3 months) or a letter on bank letterhead signed and stamped by the bank (not older than 3 months);
- Identification document of each member;
- Proof of residence of each member e.g. a utility bill (not older than 3 months);
- Identification document of the authorised person;
- Proof of residence of the authorised representative e.g. a utility bill (not older than 3 months);
- Binding resolution giving authorisation for the representative to sign documentation and give instructions on the group's account;
- Document issued by SARS to verify the group's tax reference number (**where one has been issued**);
- Affidavit confirming the group's status as a "Black New Entrant" (if applicable);
- Schedule of all partners/members of the entity, including such persons' names, ID numbers, nationality, gender, and racial group; and
- Current and valid BEE ownership certificate from a SANAS accredited BEE verification agency or an accredited IRBA member that shows that the group is at least 50.1% black-owned (economic interest) and that specifically makes reference to the Flow-Through Principle having been utilised in the verification of the group.