



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.