

Unit Trust

FICA and supporting documentation annexure

In terms of the Financial Intelligence Centre Act (FICA), before M&G Investments can enter into any transaction it is mandatory that we obtain and verify certain information from an investor. Where the investor is a legal entity, we need to identify and verify the legal entity and its beneficial owners, controlling persons and authorised signatories, prior to entering into a transaction. We retain the right to contact you to request additional information/documentation should it be needed.

Please ensure that documents clearly show your full name, surname, identity number, issue date and photograph. If a smart card is used, ensure that we receive a clear copy of both the front and back of the smart card.

Individuals/Sole Proprietorship

1. South African issued identity document ("ID"), smart card or temporary ID/passport	<input type="checkbox"/>
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Minor

1. Birth Certificate/Unabridged Birth Certificate	<input type="checkbox"/>
2. Proof of Identity of Parent or Guardian, Proof of guardianship (if not Parent), Annexure A – completed by Parent or Guardian	<input type="checkbox"/>

Close Corporations

1. The most recent CK1 (founding statement), CK2 (Amended founding statement) or CIPC print out	<input type="checkbox"/>
2. Identity document for each member and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a members' resolution	<input type="checkbox"/>

Unlisted SA Company

1. The most recent CM1/COR14.3 (Certificate of incorporation) or CIPC print out	<input type="checkbox"/>
2. The most recent CM29/COR39 or CIPC print out	<input type="checkbox"/>
3. A signed company organogram or a letter from the SA company's accountant/auditor/company secretary listing all shareholders who hold 25% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
4. Identity document of each natural person holding 25% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
5. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>

Listed Company

1. Official documentation from the relevant securities exchange, or other acceptable source, reflecting current listing status	<input type="checkbox"/>
2. Identity document of the managing director and persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Power of attorney, mandate, directors resolution or valid court order	<input type="checkbox"/>

Foreign Company

1. Official documentation reflecting the registered name, registration number, registered address, and any name changes since incorporation	<input type="checkbox"/>
2. A signed company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 25% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
3. Identity document of each natural person holding 25% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
4. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>

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Partnership

1. Partnership agreement	<input type="checkbox"/>
2. Identity document for each partner, controlling persons and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Partners' resolution	<input type="checkbox"/>

Trusts

1. Trust deed or other founding document	<input type="checkbox"/>
2. Letters of authority issued by the Master of the High Court where the trust was registered (or equivalent document for international trusts)	<input type="checkbox"/>
3. Beneficial Owners of the Trust: <ul style="list-style-type: none"> • The identity document for each trustee, each named beneficiary, the founder/donor and all persons authorised to act on behalf of the Trust. If the beneficiary, trustee or founder of the trust is a legal entity: the most recent CM1/COR14.3 (Certificate of incorporation) or CIPC print out, partnership agreement or trust deed together with: <ul style="list-style-type: none"> • the name and identity document of the natural person/s who directly or indirectly ultimately owns the legal person that owns the relevant trust property. • the name and identity document of the natural person/s who exercises effective control over the legal entity that has been established pursuant to the trust deed. 	<input type="checkbox"/>
4. Proof of authority to act in the form of a resolution/letters of authority	<input type="checkbox"/>

Pension Funds/Medical Schemes

1. Registration certificate from the Registrar of Pension Funds (FSCA) or Council of Medical Schemes	<input type="checkbox"/>
2. Identity document for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>

Other Legal Entities

1. Founding documents (i.e. signed constitution or other founding documents)	<input type="checkbox"/>
2. Identity documents for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>
4. Identity documents for all office bearers	<input type="checkbox"/>
5. Identity documents for all decision makers and persons in charge of governance of the legal entity	<input type="checkbox"/>

Agent, Authorised Persons, Controlling Person

1. Authorising resolution, power of attorney, court order, letter of executorship etc.	<input type="checkbox"/>
2. Identity document for each person authorised to act on behalf of the investor	<input type="checkbox"/>
3. Identity document for each Controlling Person of the investor	<input type="checkbox"/>