

### **FICA REQUIREMENTS**

#### **SELLER / PURCHASER IS A NATURAL PERSON:**

- Identity document or passport;
- Marriage Certificate (If applicable)
- Antenuptial Contract (If applicable)
- Utility bill indicating residential address, not older than 3 months
- Income Tax Number
- Questionnaire completed by each individual

#### **SELLER / PURCHASER IS A COMPANY:**

- Registration certificate
- Resolution authorising a representative to sign the agreement of sale/documents
- COR39 (director amendments) – If applicable
- COR21 (change of registered office) – If applicable
- Company VAT registration number (If applicable);
- Company's income tax number;
- Utility bill for company, not older than 3 months
- Company FICA questionnaire which lists each director
- Each director's identity document.
- Copies of utility bills for each director, not older than 3 months

#### **SELLER / PURCHASER IS A CLOSE CORPORATION:**

- Certificate of Incorporation (CK1 or CK2)
- Resolution authorising the representative to sign the agreement of sale / documents
- Auditor's appointment letter on their letterhead
- Utility account for the Close Corporation, not older than 3 months
- Close Corporation's income tax number
- Close Corporation's VAT registration number (if applicable)
- Questionnaire completed which states each member (only one questionnaire needs to be filled in)
- Each member's identity document
- Utility bill for each member, not older than 3 months

#### **SELLER / PURCHASER IS A TRUST:**

- Deed of Trust
- Master's Letter of Authority
- Resolution authorising a representative to sign the agreement of sale/documents
- Trust's Income tax number
- Utility bill for the trust, not older than 3 months
- Trust Questionnaire completed which states each trustee
- Each trustee's identity document
- Utility account for each trustee, not older than 3 months



**PAM GOLDING PROPERTIES QUESTIONNAIRE FOR NATURAL PERSONS ACTING ON BEHALF OF COMPANIES AND CLOSE CORPORATIONS (CC's)**

1. What is the Company or CC's name and registration number? [Note: The Client is not the person filling in the form, but the Company or CC on behalf of which the form is being completed.]

\_\_\_\_\_

*(Unless the company is listed on a stock exchange, documentary proof of the company's/CC's existence will be required by way of a copy/certified copy of a letter/from the company's accounting officer, auditor, company secretary, legal officer/senior manager or CIPC documentation proving incorporation)*

2. Does the Company or CC have a presence in South Africa (i.e. assets, operations or business premises)? if "yes", please provide details.

\_\_\_\_\_

\_\_\_\_\_

3. If the Company is a listed public company, please indicate the stock exchange on which it is listed.

*(Documentary proof of listing status required by way of letter, certificate or other appropriate document)*

4. Is the Company or CC registered for VAT? If so, what is the VAT registration no?

\_\_\_\_\_

5. What is the Company or CC's registered address?

\_\_\_\_\_

\_\_\_\_\_

6. What is your full name and SA Identity or foreign passport number? (ie the person completing this Questionnaire on behalf of the Company or CC)?

*(Your SA ID or foreign passport must be inspected by PGP and a copy/certified copy will be required from you)*

7. What is the address of your main place of residence?

*(A document less than 2 months old proving this main place of residence will be required from you)\**

*\*Proof of residential address can be furnished by way of a document emailed to you. In that case we will need to see the original email as it appeared in your inbox, and the attachment, (if any). That email and the attachment must then be emailed to us so that we can print a copy.*

8. What is your telephone number and email address?

\_\_\_\_\_



9. What is the source of your authority to complete this Questionnaire and deal with PGP on the Company or CC's behalf (ie authorisation letter, power of attorney, or similar instrument)?

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*(A copy/certified copy of this document giving such authority will be required)*

10. Please describe the type of service that the Company or CC seeks from PGP, and also the purpose for which that service is sought.  
We wish to sell a property / We wish to purchase a property / We wish to let out a property/ We wish to lease a property / Other:

- 
11. Will the Company/CC require PGP to perform the service in terms of a single Transaction (once off only) or in terms of a Business Relationship (more than one Transaction over a certain period of time)?

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12. If the Company/CC requires a Business Relationship, how will any payments due to PGP under the prospective Business Relationship be financed?

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13. Will any of the payments referred to in the previous question involve a payment by the Company or CC corporation, or by its Agent, of R25 000 or more in Cash (ie paper money, coins or traveller's cheques)?

YES / NO

14. Please describe the Company or CC's business (ie what industry it is in, what products / services it sells etc).

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*(Copy/Certified copy of letter from the Company's accounting officer, auditor, company secretary, legal officer or senior manager confirming this will be required)*

15. What is the Company or CC's ownership and control structure?  
[Note: This question is about whether the Client is part of a fairly simple ownership structure in terms of which its assets are directly owned or controlled by an easily determinable number of natural persons (which will almost always be the case for a CC), or whether the Client is part of a more complex structure, in terms of which it is not as easy to determine the natural persons who directly own and control the Client's assets.]

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*(Copy/Certified copy of letter/organogram from the Company's accounting officer, auditor, company secretary, legal officer or senior manager confirming this will be required)*



16. Who are the ultimate beneficial owners of the Company or CC? Full names and SA identity numbers / foreign passport numbers are required.

*(Copy/Certified copy of letter from the Company's accounting officer, auditor, company secretary, legal officer or senior manager confirming identity will be required for our file.)*

**METHOD 1**

- Names of ultimate natural persons who individually or collectively own a majority (25%) of the company's shares or CC's members' interests

**OR METHOD 2**

- Names of ultimate natural persons who individually or collectively control the company or CC (ie have a material influence on the company or CC's operations)

**OR METHOD 3**

- Names of company or CC's executive managers

[Note: For a CC, the ultimate beneficial owners are the members of the CC who, individually or acting together, own 25% of the members' interests, and who are *almost always* natural persons. For a Company, the ultimate beneficial owners or controllers are the natural persons who, individually or acting together, ultimately own 25% or more of the shares of the Company, or otherwise control the Company (for instance through a shareholders agreement). For example, if Company A (a Client of PGP) is 25% owned by Company B, and Company B is in turn 100% owned by John Smith, then John Smith is the ultimate beneficial owner of Company A, even though he is not the legal owner of the 25% stake in Company A.

Please fill in this answer based on the available information and considerations of practicality, choosing the most suitable of the 3 given methods of identifying the natural persons who benefit from the assets and income of the Company/CC.]

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*(Copy/Certified copy of letter from the company's accounting officer, auditor, company secretary, legal officer or senior manager identifying and confirming the beneficial owners)*

17. What is the address of the main place of residence of each of the beneficial owners of the Company or close corporation?

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\_\_\_\_\_

18. What is the telephone number and email address of each of these beneficial owners?

\_\_\_\_\_

\_\_\_\_\_

SIGNED AND DATED ON \_\_\_\_\_ (date)

CLIENT'S SIGNATURE HERE





FOR OFFICE USE ONLY	
FULL NAME OF EMPLOYEE ADMINISTERING QUESTIONNAIRE	
SIGNATURE	
DATE	

**PGP CHECK LIST:**

COPY OF DOCUMENT/S PROVING REGISTRATION PROVIDED YES / NO

COPY OF DOCUMENT/S PROVING IDENTITY PROVIDED YES / NO

COPY OF DOCUMENT/S PROVING ADDRESS PROVIDED: YES / NO

COPY OF DOCUMENT PROVING AUTHORITY PROVIDED: YES / NO

COPY/CERTIFIED COPY OF A LETTER/ORGANOGRAM FROM COMPANY'S ACCOUNTING OFFICER, AUDITOR, COMPANY SECRETARY, LEGAL OFFICER OR SENIOR MANAGER YES / NO

IS THE CLIENT A FPPO/DPIP IN TERMS OF FICA COMPLIANCE YES / NO

IF YES, HAS SENIOR MANAGEMENT APPROVAL BEEN OBTAINED? YES / NO

IS THERE ANYTHING SUSPICIOUS OR UNUSUAL TO NOTE YES / NO

IS THE PROPOSED TRANSACTION CONSISTENT WITH OUR KNOWLEDGE OF THE CLIENT YES / NO

LIST OF OUTSTANDING REQUIREMENTS:

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