

BSEC Derivative Brokers (Pty) Ltd

Reg No. 2007/025860/07

PARTNERSHIP AS CLIENT

1. REGISTERED DETAILS	
Name of partnership	
Names and addresses of partners	
Trade name (the trade name in South Africa)	
Physical business address	
	Code
Head office address (if applicable, i.e. where the partnership operates from multiple offices)	
	Code
Registered address	
	Code
Attach a copy of the most recent version of the following documents: <ul style="list-style-type: none"><input type="checkbox"/> Partnership agreement<input type="checkbox"/> Identity document / passport of each partner	
Attach any <u>one</u> of the following documents for the partnership, as appropriate, reflecting the partnership name and residential address, as applicable: <ul style="list-style-type: none"><input type="checkbox"/> An original company letterhead; or<input type="checkbox"/> A water and electricity bill (less than 3 months old); or<input type="checkbox"/> A bank Statement (less than 3 months old); or<input type="checkbox"/> A lease or rental agreement; or<input type="checkbox"/> A municipal rates and taxes invoice (less than 3 months old); or<input type="checkbox"/> A telephone account (less than 3 months old).	
2. TAX DETAILS	
The vat registration numbers (if issued) are required. <ul style="list-style-type: none"><input type="checkbox"/> Attach any official document issued by the South African Revenue Service (SARS) bearing the VAT registration numbers (if applicable). <p><i>Tax information is not currently a mandatory requirement although it is anticipated that it will become mandatory. Until such time, it is recommended that the information be requested from the prospective client but that no verification document is currently required.</i></p>	

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3. ADDITIONAL INFORMATION TO BE OBTAINED IN THE CASE OF NON FACE TO FACE CLIENTS
<p>The following documentation will be acceptable:</p> <ul style="list-style-type: none"> <input type="checkbox"/> SA Residents: Original certified copies of the documentation, certified by a Commissioner of Oaths; Verify the name and address of the person by conducting an electronic enquiry via an information service such as a recognised credit bureau or similar entity; Verify the name and address of the person with reference to a local or national telephone directory. <input type="checkbox"/> Non-SA Residents: Original certified copies of the documentation, certified by a Notary Public.

4. CLIENT PROFILE	
<input type="checkbox"/> Nature of business being conducted by the client from which it derives the majority of its income.	
<input type="checkbox"/> Purpose and reason for establishing a relationship/ opening and maintaining an account.	
<input type="checkbox"/> The source of funds which are expected to be used in concluding the single (once-off) transaction or transactions in the course of the business relationship.	

5. CONTACT DETAILS OF PARTNERSHIP											
Contact name											
Telephone				-							
Fax				-							
email											

6. RELATED PARTIES (OWNERS AND CONTROLLERS)	
<p>The following are related parties to the company/close corporation. It is mandatory to identify and verify these parties by completing the correct kyc questionnaire in respect of :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Every partner, including every member of a partnership <i>en commandite</i>, an anonymous partnership or any similar partnership; <input type="checkbox"/> The person who exercises executive control over the partnership; and <input type="checkbox"/> Each natural person who purports to be authorised to establish a business relationship or enter into a transaction with BSEC Derivative Brokers on behalf of the partnership. 	

7. PROOF OF AUTHORITY OF INDIVIDUALS	
<p>Attach one of the following documents providing written confirmation that the authorised signatory and/or person seeking to establish the business relationship or conclude the single (one-off) transaction on behalf of the partnership is authorised to act on behalf of the partnership:</p> <ul style="list-style-type: none"> <input type="checkbox"/> A resolution taken by the partnership authorising the opening of an account/establishment of the business relationship/ conclusion of the transaction and conferring authority on those who will establish the business relationship/ conclude the single transaction; or <input type="checkbox"/> Power of Attorney; or <input type="checkbox"/> Mandate; or <input type="checkbox"/> Other legal document specifying those authorised to establish the business relationship/conclude the transaction/ operate the account. Specify document. 	

8. NOTE ON CERTIFIED DOCUMENTATION

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Legally certified documentation, that is documents certified by a Commissioner of Oaths or Notary Public, may be accepted. Certified documents must be originals. Faxes and copies of certified documents are not acceptable.

9. CASH DEPOSITS

- a). Please note that BSEC Derivative Brokers may not receive any cash deposits from or on behalf of clients, only electronic transfer of funds in order to comply with FICA;
- b). All cash deposits from or on behalf of clients will be reported to FIC.

FOR INTERNAL PURPOSES ONLY (To be completed by the person (s) who obtains the KYC information and documentation from the client and the person verifying the information, respectively.

PART A – To be completed by person delegated by the Compliance Officer to obtain the KYC information and documentation from the prospective client.

Name	
Signature	
Date	

PART B – To be completed by Compliance Officer as proof of review and approval of adherence to FICA legislation.

Name	
Signature	
Date	