

BSEC Derivative Brokers (Pty) Ltd

Reg No. 2007/025860/07

PRIVATE TRUST AS CLIENT

1. REGISTERED DETAILS												
Full name of the trust												
Registration number of the trust	I	T										
Trade name (if different from registered name in South Africa)												
Income tax registration number , if such has been issued to the trust												
Physical business address												
	Code											
Head office address (if applicable, i.e. where the trust operates from multiple offices)												
	Code											
Address of the Master of the High Court where the trust is registered, if applicable												
	Code											
<p>Attach a copy of the most recent version of the following documents:</p> <ul style="list-style-type: none"> <input type="checkbox"/> The trust deed or other founding instrument in terms of which the trust was created <input type="checkbox"/> The Letter of Authority issued by the Master of the High Court 												
<p>Attach any <u>one</u> of the following documents for the trust, as appropriate, reflecting the trust name and physical business address, as applicable:</p> <ul style="list-style-type: none"> <input type="checkbox"/> An original trust 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												
<p>The income tax and vat registration numbers (if issued) are required.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Attach any official document issued by the South African Revenue Service (SARS) bearing the income tax and 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

The following documentation will be acceptable:

- 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.
- 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 TRUST

Contact name											
Telephone				-							
Fax				-							
email											

6. RELATED PARTIES (OWNERS AND CONTROLLERS)

The following are related parties to the trust. It is mandatory to identify and verify these parties by completing the correct kyc questionnaire in respect of :

- Each beneficiary of the trust referred to by name in the trust deed;
- Each trustee of the trust;
- The founder of the trust; and
- 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 trust.

7. PROOF OF AUTHORITY OF INDIVIDUALS

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 trust is authorised to act on behalf of the trust:

- Board of Trustee's resolution 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
- Power of Attorney; or
- Mandate; or
- Other legal document specifying those authorised to establish the business relationship/conclude the transaction/ operate the account. Specify document.

8. NOTE ON CERTIFIED DOCUMENTATION

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.

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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	