

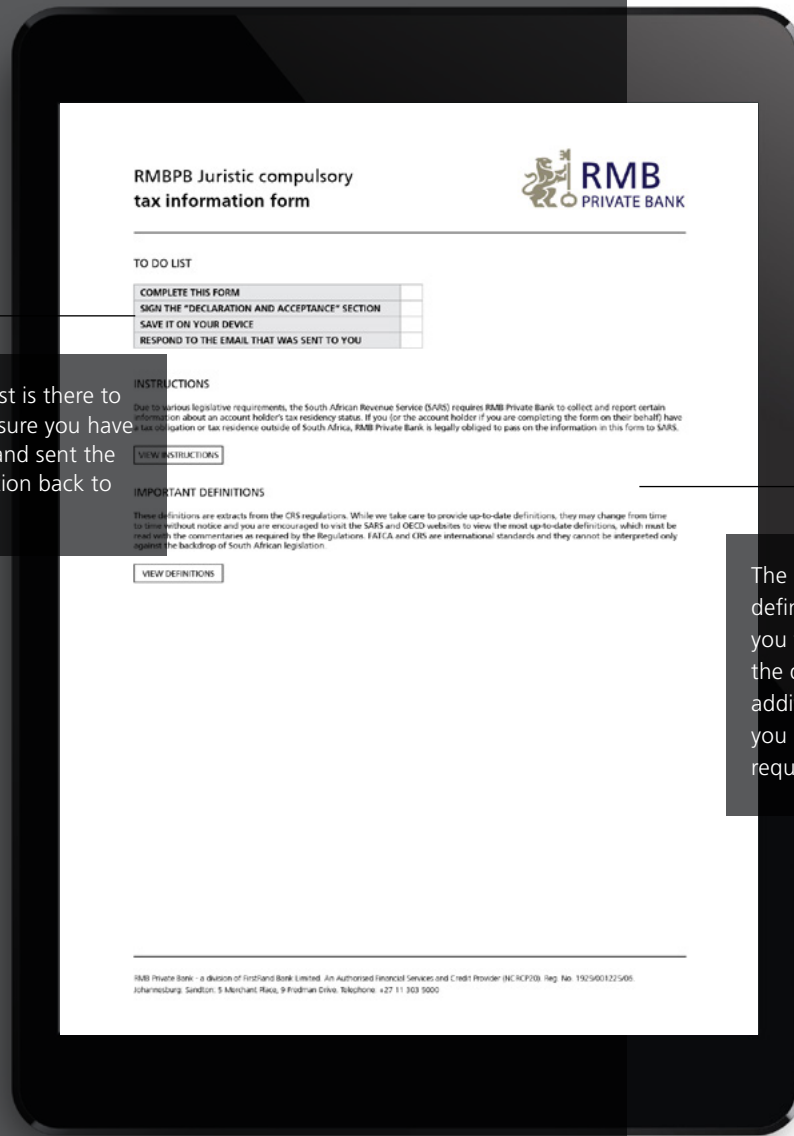
Client guide for completion of the
Self-Certification Form.

JURISTIC ENTITIES

Quick reference guide to Common Reporting Standards
(CRS)

Note: Individuals and Sole Traders complete the individual Self-Certification.

RMB. Solutionist Thinking.



The To-Do list is there to help you ensure you have completed and sent the documentation back to the bank.

The instructions and important definitions links will take you to the last 3 pages of the document containing additional information to aid you in understanding the requirements of the form.

BACKGROUND TO FATCA/CRS

As a form of monitoring tax evasion, revenue authorities such as the South African Revenue Service (SARS) require financial institutions to annually report certain clients' account information that is then exchanged with other revenue authorities globally.

This is known as Automatic Exchange of Information (AEOI).

AEOI is achieved through two primary pieces of legislation:

- Foreign Account Tax Compliance Act (FATCA)
- The Common Reporting Standards (CRS)

Entity details and client contact details

In this form, 'Entity' means anyone other than an individual/natural person. Entity includes partnerships, trusts, etc. This document contains defined terms. Please click on the **View Definitions** tab above to read the definitions before completing the document. Throughout this form ALL boxes must be ticked, classifications must be selected, and all information must be provided where required.

A. ENTITY DETAILS
Note: Everything in this section A relates to the Entity except the main contact person's details.

ENTITY:

REGISTERED NAME OF ENTITY	
REGISTRATION/ ORGANISATION NUMBER OF ENTITY	
COUNTRY OF INCORPORATION/PLACE WHERE ENTITY WAS CREATED	
COUNTRY OF OPERATION OF ENTITY	

ENTITY ADDRESS:

UNIT/STREET NUMBER		STREET/COMPLEX NAME	
CITY		POST/ZIP CODE	
COUNTRY			
POSTAL ADDRESS (IF DIFFERENT TO PHYSICAL ADDRESS)			
POST/ZIP CODE		COUNTRY	

NEXT

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Capture the legal registration details of the entity in question, specifically as it relates to the account holder.


PURPOSE OF THE SELF-CERTIFICATION

The Self-Certification form is a means of collecting detailed information on a client's foreign tax residencies.

All clients will be required to confirm their tax residency, regardless whether they hold any foreign tax residency or not.

This means that every Individual and Entity residing in a CRS participating country will have a Self-Certification stating their local, and where applicable, foreign tax residency.

Entities fall into 3 primary categories, **Active Non-Financial Entities**, **Passive Non-Financial Entities** and **Financial Institutions**. This will be established through the completion of this document.



DETAILS OF MAIN CONTACT PERSON OF ENTITY:

MAIN CONTACT PERSON (FULL NAME AND SURNAME)	
CELL NUMBER OF CONTACT PERSON	
EMAIL ADDRESS OF CONTACT PERSON	
TELEPHONE NUMBER (WORK) OF CONTACT PERSON	

ENTITY TAX DETAILS:

- Entity tax registrations/obligations: Does the Entity pay tax, have a tax obligation, or is it a tax resident in any other country in addition to South Africa?
 YES NO
- If the Entity has no place of tax residency, tick this box.
 TICK
- If you have ticked the box above, please indicate the country in which the Entity's principal office/effective management is situated:
- Is 75% or more (1) of the Entity, or (2) of the Entity's assets, or (3) of the Entity's shares, voting securities or voting power, directly or indirectly owned or controlled by, or on behalf of, a person or persons who is/are not resident in South Africa?
 YES NO
- Please indicate all countries in which the Entity is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return (including South Africa, if the Entity has South African tax residency):

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please select any one of the following as the Entity's main source of income/revenue: (Please note: E-codes are for office use only)


SALES GOODS AND SERVICES (E01)	LOANS (E10)
ASSET DISPOSAL (E02)	GOVERNMENT GRANTS (E11)
RENTAL INCOME (E03)	MEMBERSHIP FEES (E12)
INTEREST INCOME (E04)	DEVELOPMENT FUNDING (E13)
DIVIDEND INCOME (E05)	GRANTS (E14)
INVESTMENT INCOME/CAPITAL (E06)	ROYALTY INCOME (E15)

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Capture the details of the primary contact person for the entity, note this should be a person who is capable of making banking decisions on behalf of the entity.

PURPOSE OF THE SELF-CERTIFICATION FORM

Ownership details are also required for entities to understand the entity's relationship with its owners and their individual tax liabilities.



DETAILS OF MAIN CONTACT PERSON OF ENTITY:

MAIN CONTACT PERSON (FULL NAME AND SURNAME)	
CELL NUMBER OF CONTACT PERSON	
EMAIL ADDRESS OF CONTACT PERSON	
TELEPHONE NUMBER (WORK) OF CONTACT PERSON	

ENTITY TAX DETAILS:

- Entity tax registrations/obligations: Does the Entity pay tax, have a tax obligation, or is it a tax resident in any other country in addition to South Africa?
 YES NO
- If the Entity has no place of tax residency, tick this box.
 TICK
- If you have ticked the box above, please indicate the country in which the Entity's principal office/effective management is situated:

- Is 75% or more (1) of the Entity, or (2) of the Entity's assets, or (3) of the Entity's shares, voting securities or voting power, directly or indirectly owned or controlled by, or on behalf of, a person or persons who *is/are* not resident in South Africa?
 YES NO
- Please indicate all countries in which the Entity is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return (including South Africa, if the Entity has South African tax residency):

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please select any one of the following as the Entity's main source of income/revenue: (Please note: E-codes are for office use only)

SALES GOODS AND SERVICES (E01)	LOANS (E10)
ASSET DISPOSAL (E02)	GOVERNMENT GRANTS (E11)
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INTEREST INCOME (E04)	DEVELOPMENT FUNDING (E13)
DIVIDEND INCOME (E05)	GRANTS (E14)
INVESTMENT INCOME/CAPITAL (E06)	ROYALTY INCOME (E15)

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1. Capture the entity tax and source of funds details.

TAX INFORMATION

1. Capture the tax residency details and **primary source of funds** details for the entity.

Note:

When adding multiple tax numbers the source of funds section will move to the next page.

Complete the
Entity Classification
Details.

COMMISSIONS (E07) SHARE IN TERMS OF SHARE TRUSTS (E16)
SPONSORSHIP/DONATIONS (E08) FEES EARNED (E17)
INSURANCE PAY-OUTS (E09) REWARDS EARNED (E18)

B. ENTITY DETAILS

6. Please classify the Entity as follows:

a. Is the Entity any of the following: Depository Institution, Custodial Institution, Investment Entity, Specified Insurance Company (Financial Institution) or a Trust?
YES NO

b. Has the Entity appointed anyone outside of South Africa in a fiduciary capacity?
YES NO
IF YES, SPECIFY WHICH COUNTRY _____

c. Is the Entity a trust in respect of which any of its trustees is a Financial Institution?
YES NO
If yes, provide the Global Intermediary Identification Number (GIIN) of the Entity
GIIN _____

d. Is the Entity required to report under FATCA or CRS?
YES NO
If yes, provide the GIIN of the Entity or alternative classification.
GIIN _____

e. If the Entity is a Financial Institution or a Trust and it cannot provide a GIIN, is the Entity sponsored in respect of FATCA compliance?
YES NO
If the Entity is sponsored, provide the full name of the Sponsor and the Sponsor's GIIN
FULL NAME _____
GIIN _____

f. If the Entity falls into any of the following classifications, then please select the appropriate classification for the Entity

TREATY QUALIFIED RETIREMENT FUND	COLLECTIVE INVESTMENT SCHEME
DEPOSITORY INSTITUTION	INVESTMENT ENTITY
CUSTODIAL INSTITUTION	SPECIFIED INSURANCE COMPANY

If the Entity is a Financial Institution, please provide the relevant IRS form, if applicable.

7. Please complete all of the following for the Entity:

a. Is the Entity listed on any stock exchange?
YES NO
If the Entity is listed on a stock exchange, provide the name of the stock exchange: _____

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ENTITY CLASSIFICATION

The entity classification details are used by the Regulator to identify the structural characteristics of the entity.

B. ENTITY DETAILS

6. Please classify the Entity as follows:

a. Is the Entity any of the following: Depository Institution, Custodial Institution, Investment Entity, Specified Insurance Company (Financial Institution) or a Trust?
YES NO

b. Has the Entity appointed anyone outside of South Africa in a fiduciary capacity?
YES NO
IF YES, SPECIFY WHICH COUNTRY _____

c. Is the Entity a trust in respect of which any of its trustees is a Financial Institution?
YES NO
If yes, provide the Global Intermediary Identification Number (GIIN) of the Entity.
GIIN _____

d. Is the Entity required to report under FATCA or CRS?
YES NO
If yes, provide the GIIN of the Entity or alternative classification.
GIIN _____

PAGES 7 & 8 OF NAVIGATING THE SELF-CERTIFICATION FORM

Entity details and client contact details

Ultimate Beneficial Owner (UBO)

This section must be completed by all Entities in respect of each and every ultimate beneficial owner of the Entity.

The Ultimate Beneficial Owner(s) (UBO) is the individual(s)/natural person(s) who receives, or will receive, the most financial benefit (directly or indirectly) from the Entity, because the individual(s) has a direct or indirect ownership interest in the Entity and/or because the individual(s) directly or indirectly controls the Entity. The details of the ultimate beneficial owner(s) that you must complete must be for individuals (natural persons) - the ultimate beneficial owner cannot be an Entity.

In the Relationship block you are required to select the type of relationship between the ultimate beneficial owner and the Entity. A trust can, for example, not have a shareholder or director. The table below shows potential ultimate beneficial owners and the relationship options that can apply to each type of Entity. If you believe that there is another ultimate beneficial owner who does not appear in the list below, then please add that person and select 'Via other means' in the Relationship block.

ENTITY	RELATIONSHIP	WHO IS THE ULTIMATE BENEFICIAL OWNER(S)?
Trust	Trustee, founder, settlor, donee, protector and beneficiary	It will always be each and every trustee, founder, settlor, donee, protector and beneficiary who is named in the trust deed or in the will and testament.
Company/Cooperative	Shareholder or director	Each and every individual who holds 25% or more of the shares and, if there is no such individual then all directors are ultimate beneficial owner(s).
Close Corporation	Member of CC	Each and every individual who holds 25% or more members' interest and, if there is no such individual then all managing member(s) are ultimate beneficial owner(s).
Partnership	Partner	The partner(s) with the highest interest in the managing partner(s).
Government, funds, clubs and all other types of Entities	Senior managing official, or via other means	All individuals with signing authority on the Entity's accounts.

Full name and surname of UBO
FULL NAME AND SURNAME

Relationship of UBO to Entity (Please state whether the UBO is a Trustee, Founder, Settlor, Donee, Protector, Beneficiary or class of Beneficiaries, Director/Partner, Shareholder, Member of CC, Senior Managing Official, or is related to the UBO via other means)

Identify number of UBO

Ownership of UBO in Entity (%) (not required for trusts and government)

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DATE OF BIRTH OF UBO

CELL NUMBER OF UBO

TELEPHONE NUMBER (WORK) OF UBO

EMAIL ADDRESS OF UBO

PHYSICAL ADDRESS OF UBO (UNIT/STREET NUMBER)

STREET/COMPLEX NAME OF UBO

CITY

POST/ZIP CODE

COUNTRY

COUNTRY OF RESIDENCE OF UBO

CITIZENSHIP OF UBO (COUNTRY)

NATIONALITY OF UBO (COUNTRY, NOT RACE)

COUNTRY OF BIRTH OF UBO

CITY/TOWN OF BIRTH OF UBO

RESIDENCY STATUS IN SOUTH AFRICA OF UBO

Please indicate all jurisdictions in which the ultimate beneficial owner is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return - including South Africa, if South African tax residency is applicable.

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

ADD MORE

Please note that should another Entity exercise control over the Entity, we may request additional details.

BACK

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ULTIMATE BENEFICIAL OWNER

All entities that receive 50% or more of their income through passive means e.g. rental income, shares, dividends etc., need to declare who their Ultimate Beneficial Owners (UBOs) are.

Read through the classifications and rules for each entity type carefully to identify whom to list as the UBOs.

Sign the
Declaration of
Acceptance. This
can be done
electronically.

Entity details and client contact details

Ultimate Beneficial Owner (UBO)

Declaration and acceptance

By signing this form, I declare on behalf of the Entity that:

1. We warrant that all information and declarations provided by means in this form and all supporting documentation in connection with this form are true, correct and accurate in every respect and undertake to inform RMB Private Bank of any changes thereto as well as any facts or circumstances in future that may impact the Entity's legal status as a client of RMB Private Bank.
2. We confirm that RMB Private Bank has not provided any advice in respect of the tax, legal, accounting, regulatory and/or financial consequences of this transaction.
3. We have read, understood and agree to be bound by the relevant and latest terms and conditions available on www.rmbprivatebank.com.
4. We have read and understood the portion relating to the processing of my personal information in the terms and conditions. Kindly refer to our Privacy Policy located on www.rmbprivatebank.com for more information on our privacy practices.
5. We hereby confirm that the Entity and Ultimate Beneficial Owners hold no other residences for tax purposes other than those disclosed above in this form and will inform RMB Private Bank in writing of any change of this status within 30 (thirty) days of the change of the disclosed status.
6. We hereby indemnify RMB Private Bank against any liability for any loss or damage suffered by the Entity as a result of inaccurate or incomplete information contained herein.

SIGNED AT	DATE
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CLIENT SIGNATURE	<input type="checkbox"/> By selecting this tick box, you are certifying that all information provided in this document is true and accurate. This serves as your approval and signature
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CAPACITY OF SIGNATORY

SAVE

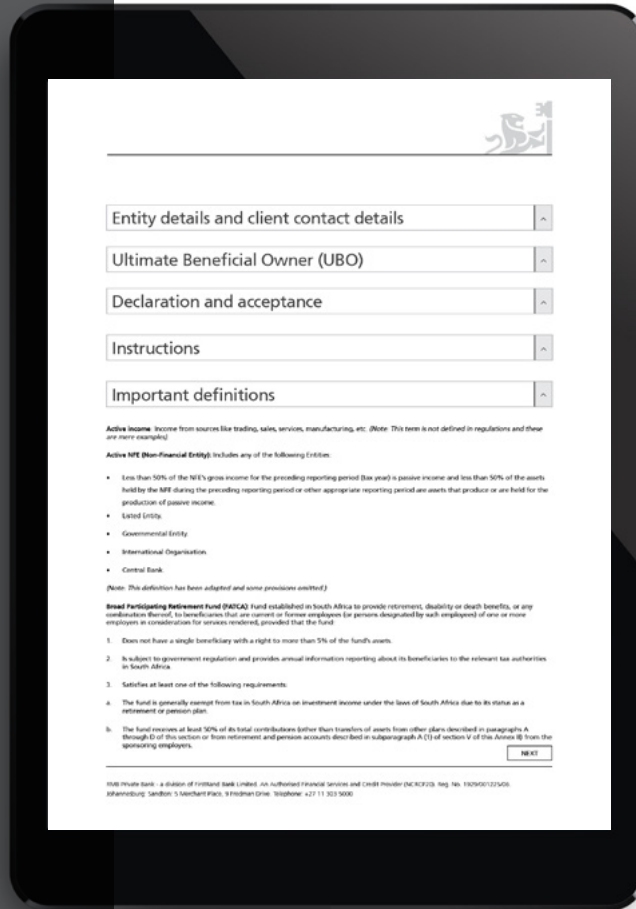
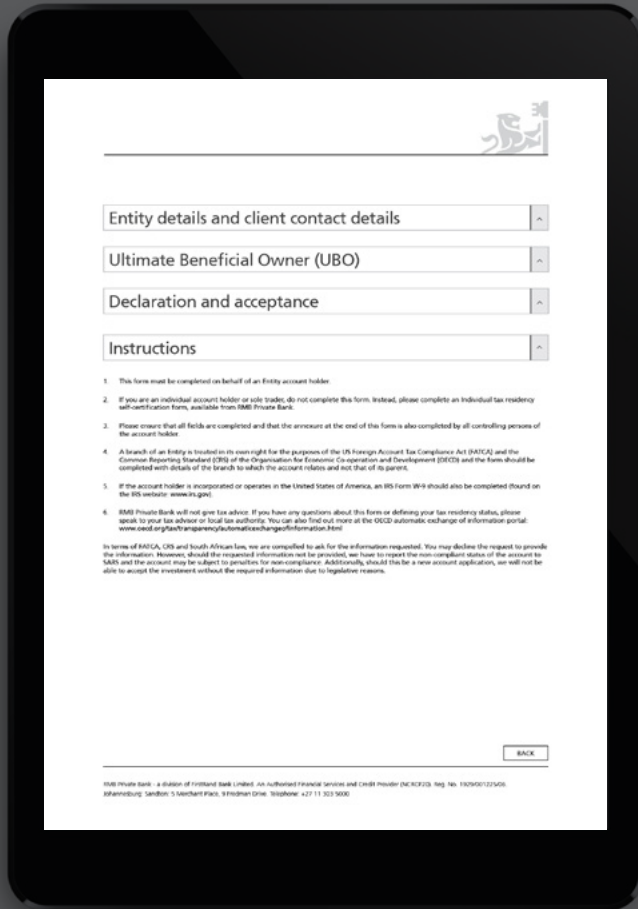
BACK

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DECLARATION

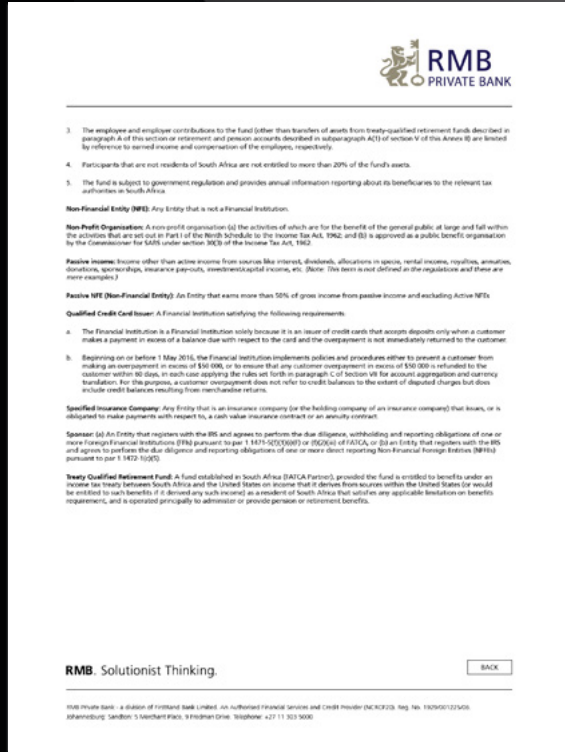
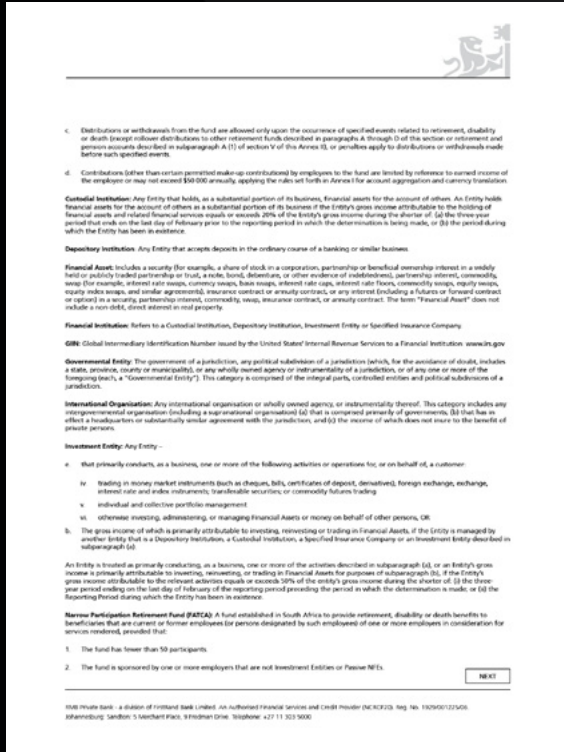
The declaration intends to ensure that you are aware that all required information must be completed, and should that information change you are required to inform the bank within 30 (days) in writing of any change in your personal or tax residency information.

PAGES 10 & 11 OF NAVIGATING THE SELF-CERTIFICATION FORM



ADDITIONAL INFORMATION


Pages 10 & 11 contain additional information related to the fields completed in the Self-Certification document. The details will be linked to the specific fields in following pages in this document for ease of reference.



ADDITIONAL INFORMATION

Pages 12 & 13 contain additional information related to the fields completed in the Self-Certification document. The details will be linked to the specific fields in following pages in this document for ease of reference.

INSTRUCTIONS OF COMPLETING THE SELF-CERTIFICATION



Entity details and client contact details ^

Ultimate Beneficial Owner (UBO) ^

Declaration and acceptance ^

Instructions ^

1. This form must be completed on behalf of an Entity account holder.
2. If you are an individual account holder or sole trader, do not complete this form. Instead, please complete an Individual tax residency self-certification form, available from RMB Private Bank.
3. Please ensure that all fields are completed and that the annexure at the end of this form is also completed by all controlling persons of the account holder.
4. A branch of an Entity is treated in its own right for the purposes of the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) of the Organisation for Economic Co-operation and Development (OECD) and the form should be completed with details of the branch to which the account relates and not that of its parent.
5. If the account holder is incorporated or operates in the United States of America, an IRS Form W-9 should also be completed (found on the IRS website: www.irs.gov).
6. RMB Private Bank will not give tax advice. If you have any questions about this form or defining your tax residency status, please speak to your tax advisor or local tax authority. You can also find out more at the OECD automatic exchange of information portal: www.oecd.org/tax/transparency/automaticexchangeofinformation.html

In terms of FATCA, CRS and South African law, we are compelled to ask for the information requested. You may decline the request to provide the information. However, should the requested information not be provided, we have to report the non-compliant status of the account to SARS and the account may be subject to penalties for non-compliance. Additionally, should this be a new account application, we will not be able to accept the investment without the required information due to legislative reasons.

[BACK](#)

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Declaration and acceptance ^

Instructions ^

1. This form must be completed on behalf of an Entity account holder.
2. If you are an individual account holder or sole trader, do not complete this form. Instead, please complete an Individual tax residency self-certification form, available from RMB Private Bank.
3. Please ensure that all fields are completed and that the annexure at the end of this form is also completed by all controlling persons of the account holder.
4. A branch of an Entity is treated in its own right for the purposes of the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) of the Organisation for Economic Co-operation and Development (OECD) and the form should be completed with details of the branch to which the account relates and not that of its parent.
5. If the account holder is incorporated or operates in the United States of America, an IRS Form W-9 should also be completed (found on the IRS website: www.irs.gov).
6. RMB Private Bank will not give tax advice. If you have any questions about this form or defining your tax residency status, please speak to your tax advisor or local tax authority. You can also find out more at the OECD automatic exchange of information portal: www.oecd.org/tax/transparency/automaticexchangeofinformation.html

In terms of FATCA, CRS and South African law, we are compelled to ask for the information requested. You may decline the request to provide the information. However, should the requested information not be provided, we have to report the non-compliant status of the account to SARS and the account may be subject to penalties for non-compliance. Additionally, should this be a new account application, we will not be able to accept the investment without the required information due to legislative reasons.

DETAILS OF MAIN CONTACT PERSON OF ENTITY:

MAIN CONTACT PERSON (FULL NAME AND SURNAME)	
CELL NUMBER OF CONTACT PERSON	
EMAIL ADDRESS OF CONTACT PERSON	
TELEPHONE NUMBER (WORK) OF CONTACT PERSON	

ENTITY TAX DETAILS:

- Entity tax registrations/obligations: Does the Entity pay tax, have a tax obligation, or is it a tax resident in any other country in addition to South Africa?
 YES NO
- If the Entity has no place of tax residency, tick this box.
 TICK
- If you have ticked the box above, please indicate the country in which the Entity's principal office/effective management is situated:
- Is 75% or more (1) of the Entity, or (2) of the Entity's assets, or (3) of the Entity's shares, voting securities or voting power, directly or indirectly owned or controlled by, or on behalf of, a person or persons who is/are not resident in South Africa?
 YES NO
- Please indicate all countries in which the Entity is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return (including South Africa, if the Entity has South African tax residency):

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please select any one of the following as the Entity's main source of income/revenue: (Please note: E-codes are for office use only)

SALES GOODS AND SERVICES (E01)	LOANS (E10)
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INTEREST INCOME (E04)	DEVELOPMENT FUNDING (E13)
DIVIDEND INCOME (E05)	GRANTS (E14)
INVESTMENT INCOME/CAPITAL (E06)	ROYALTY INCOME (E15)

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2. No Place of Tax Residency.

3. Tax identification number.

Note:


Read through question 1 carefully, as this will impact the self-certification process.

2. No Place of tax residency:

Should you believe you have no place of tax residency at this time select this check box, note that there will be a fulfilment process triggered by selecting this option.

3. Tax Identification Number:

This is the number used by the Tax Authority to identify you.



DETAILS OF MAIN CONTACT PERSON OF ENTITY:

MAIN CONTACT PERSON (FULL NAME AND SURNAME)	
CELL NUMBER OF CONTACT PERSON	
EMAIL ADDRESS OF CONTACT PERSON	
TELEPHONE NUMBER (WORK) OF CONTACT PERSON	

ENTITY TAX DETAILS:

1. Entity tax registrations/obligations: Does the Entity pay tax, have a tax obligation, or is it a tax resident in any other country in addition to South Africa?
 YES NO

2. If the Entity has no place of tax residency, tick this box.
 TICK

3. If you have ticked the box above, please indicate the country in which the Entity's principal office/effective management is situated:

4. Is 75% or more (1) of the Entity, or (2) of the Entity's assets, or (3) of the Entity's shares, voting securities or voting power, directly or indirectly owned or controlled by, or on behalf of, a person or persons who is/are not resident in South Africa?
 YES NO

5. Please indicate all countries in which the Entity is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return (including South Africa, if the Entity has South African tax residency):

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please select any one of the following as the Entity's main source of income/revenue: (Please note: E-codes are for office use only)

SALES GOODS AND SERVICES (E01)	LOANS (E10)
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INVESTMENT INCOME/CAPITAL (E06)	ROYALTY INCOME (E15)

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4. Completion of the Main Source of Revenue this will help determine if you are a Passive Non-Financial Entity, Active Non-Financial Entity or a Financial Institution.


Capture the areas in which your business operates - these descriptions aid in the classification of your business.

5. Please indicate all countries in which the Entity is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return (including South Africa, if the Entity has South African tax residency):

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please select any one of the following as the Entity's main source of income/revenue: (Please note: E-codes are for office use only)

SALES GOODS AND SERVICES (E01)	LOANS (E10)
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COMMISSIONS (E07)	SHARE IN TERMS OF SHARE TRUSTS (E16)
SPONSORSHIP/DONATIONS (E08)	FEES EARNED (E17)
INSURANCE PAY-OUTS (E09)	REWARDS EARNED (E18)

B. ENTITY DETAILS

6. Please classify the Entity as follows:

a. Is the Entity any of the following: Depository Institution, Custodial Institution, Investment Entity, Specified Insurance Company (Financial Institution) or a Trust?
 YES NO

b. Has the Entity appointed anyone outside of South Africa in a fiduciary capacity?
 YES NO
 IF YES, SPECIFY WHICH COUNTRY _____

c. Is the Entity a trust in respect of which any of its trustees is a Financial Institution?
 YES NO
 If yes, provide the Global Intermediary Identification Number (GIIN) of the Entity.
 GIIN _____

d. Is the Entity required to report under FATCA or CRS?
 YES NO
 If yes, provide the GIIN of the Entity or alternative classification.
 GIIN _____

e. If the Entity is a Financial Institution or a Trust and it cannot provide a GIIN, is the Entity sponsored in respect of FATCA compliance?
 YES NO
 If the Entity is sponsored, provide the full name of the Sponsor and the Sponsor's GIIN.
 FULL NAME _____
 GIIN _____

f. If the Entity falls into any of the following classifications, then please select the appropriate classification for the Entity.

<input type="checkbox"/> TREATY QUALIFIED RETIREMENT FUND	<input type="checkbox"/> COLLECTIVE INVESTMENT SCHEME
<input type="checkbox"/> DEPOSITORY INSTITUTION	<input type="checkbox"/> INVESTMENT ENTITY
<input type="checkbox"/> CUSTODIAL INSTITUTION	<input type="checkbox"/> SPECIFIED INSURANCE COMPANY

If the Entity is a Financial Institution, please provide the relevant IRS form, if applicable.

7. Please complete all of the following for the Entity:

a. Is the Entity listed on any stock exchange?
 YES NO
 If the Entity is listed on a stock exchange, provide the name of the stock exchange: _____

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5. Complete the Entity Classification details.

The details are used to verify the tax residency details.

B. ENTITY DETAILS


6. Please classify the Entity as follows:

a. Is the Entity any of the following: Depository Institution, Custodial Institution, Investment Entity, Specified Insurance Company (Financial Institution) or a Trust?
 YES NO

b. Has the Entity appointed anyone outside of South Africa in a fiduciary capacity?
 YES NO
 IF YES, SPECIFY WHICH COUNTRY _____

c. Is the Entity a trust in respect of which any of its trustees is a Financial Institution?
 YES NO
 If yes, provide the Global Intermediary Identification Number (GIIN) of the Entity.
 GIIN _____

d. Is the Entity required to report under FATCA or CRS?
 YES NO
 If yes, provide the GIIN of the Entity or alternative classification.
 GIIN _____



Entity details and client contact details ^

Ultimate Beneficial Owner (UBO) ^

This section must be completed by all Entities in respect of each and every ultimate beneficial owner of the Entity

The **Ultimate Beneficial Owner(s) (UBO)** is the individual(s)/natural person(s) who receives, or will receive, the most financial benefit (directly or indirectly) from the Entity, because the individual(s) has a direct or indirect ownership interest in the Entity and/or because the individual(s) directly or indirectly controls the Entity. The details of the ultimate beneficial owner(s) that you must complete must be for individuals (natural persons) – the ultimate beneficial owner cannot be an Entity.

In the Relationship block you are required to select the type of relationship between the ultimate beneficial owner and the Entity. A trust can, for example, not have a shareholder or director. The table below shows potential ultimate beneficial owners and the relationship options that can apply to each type of Entity. If you believe that there is another ultimate beneficial owner who does not appear in the list below, then please add that person and select **Via other means** in the Relationship block.

ENTITY	RELATIONSHIP	WHO IS THE ULTIMATE BENEFICIAL OWNER(S)?
Trust	Trustee, founder, settlor, donor, protector and beneficiary	It will always be each and every trustee, founder, settlor, donor, protector and beneficiary who is named in the trust deed or in the will and testament
Company/Cooperative	Shareholder or director	Each and every individual who holds 25% or more of the shares and, if there is no such individual then all directors are ultimate beneficial owner(s)
Close Corporation	Member of CC	Each and every individual who holds 25% or more members' interest and, if there is no such individual then all managing member(s) are ultimate beneficial owner(s)
Partnership	Partner	The partner(s) with the highest interest or the managing partner(s)
Government, funds, clubs and all other types of Entities	Senior managing official, or via other means	All individuals with signing authority on the Entity's account(s)

Full name and surname of UBO

Relationship of UBO to Entity (Please state whether the UBO is a: Trustee, Founder, Settlor, Donor, Protector, Beneficiary or class of Beneficiaries, Director/Partner, Shareholder, Member of CC, Senior Managing Official, or is related to the UBO via other means)

Identity number of UBO

Ownership of UBO in Entity (%) (not required for trusts and government)


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6. The top two thirds of the page contains definitions and additional details related to the capture of Ultimate Beneficial Owner details.

The key piece of information is that all Beneficial Owners, both Individual and Juristic must be captured in order to remain compliant.

In the Relationship block you are required to select the type of relationship between the ultimate beneficial owner and the Entity. A trust can, for example, not have a shareholder or director. The table below shows potential ultimate beneficial owners and the relationship options that can apply to each type of Entity. If you believe that there is another ultimate beneficial owner who does not appear in the list below, then please add that person and select **Via other means** in the Relationship block.

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Entity details and client contact details ^

Ultimate Beneficial Owner (UBO) ^

This section must be completed by all Entities in respect of **each and every** ultimate beneficial owner of the Entity

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Close Corporation	Member of CC	Each and every individual who holds 25% or more members' interest and, if there is no such individual then all managing member(s) are ultimate beneficial owner(s)
Partnership	Partner	The partner(s) with the highest interest or the managing partner(s)
Government, funds, clubs and all other types of Entities	Senior managing official, or via other means	All individuals with signing authority on the Entity's account(s)

Full name and surname of UBO
FULL NAME AND SURNAME

Relationship of UBO to Entity (Please state whether the UBO is a: Trustee, Founder, Settlor, Donor, Protector, Beneficiary or class of Beneficiaries, Director/Partner, Shareholder, Member of CC, Senior Managing Official, or is related to the UBO via other means)

Identity number of UBO

Ownership of UBO in Entity (%) (not required for trusts and government)

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7. The bottom third of the page is the start of the **UBO details** capture form and this continues to the next page.

Full name and surname of UBO
FULL NAME AND SURNAME

Relationship of UBO to Entity (Please state whether the UBO is a: Trustee, Founder, Settlor, Donor, Protector, Beneficiary or class of Beneficiaries, Director/Partner, Shareholder, Member of CC, Senior Managing Official, or is related to the UBO via other means)

Identity number of UBO

Ownership of UBO in Entity (%) (not required for trusts and government)



DATE OF BIRTH OF UBO	<input type="text"/>	TELEPHONE NUMBER (WORK) OF UBO	<input type="text"/>
CELL NUMBER OF UBO	<input type="text"/>		
EMAIL ADDRESS OF UBO	<input type="text"/>		
PHYSICAL ADDRESS OF UBO: UNIT/STREET NUMBER	<input type="text"/>	STREET/COMPLEX NAME OF UBO	<input type="text"/>
CITY	<input type="text"/>	POST/ZIP CODE	<input type="text"/>
COUNTRY	<input type="text"/>	COUNTRY OF RESIDENCE OF UBO	<input type="text"/>
CITIZENSHIP OF UBO (COUNTRY)	<input type="text"/>	NATIONALITY OF UBO (COUNTRY, NOT RACE)	<input type="text"/>
COUNTRY OF BIRTH OF UBO	<input type="text"/>	CITY/TOWN OF BIRTH OF UBO	<input type="text"/>
RESIDENCY STATUS IN SOUTH AFRICA OF UBO	<input type="text"/>		

Please indicate all jurisdictions in which the ultimate beneficial owner is tax resident, registered for tax, obliged to pay tax and/or required to submit a tax return – including South Africa, if South African tax residency is applicable.

TAX IDENTIFICATION NUMBER	COUNTRY OF ISSUE

Please note that should another Entity exercise control over the Entity, we may request additional details.

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The personal, contact and tax details of all Ultimate Beneficial Owners must be captured.

Note:

The capturing of UBO details is in line with both the Financial Intelligence Centres Act as well as the Multilateral Agreement for the Automatic Exchange of Information.

CONTACT US

Talk to us today, using the channel that best suits you,
about starting a journey that goes beyond the destination.

Contact the dedicated Service Suite 24/7 on 087 575 9411

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