

3A. BROKERAGE PRINCIPAL (CONTINUED)

Email

Cell number

Brokerage Income Tax number

Tel number

FSP registration number

VAT number

3B. DIRECTOR

Title Initials Surname

Full name/s

ID or passport number Date of birth Gender

Designation

Email

Cell number Residential Address

Tel number VAT number

3C. DIRECTOR

Title Initials Surname

Full name/s

ID or passport number Date of birth Gender

Designation

Email

Cell number Residential address

Tel number VAT number

Initial

10. SHAREHOLDERS

Information Required

A list of shareholders who hold 25% or more of the company's shares and the percentage of shares held by each such shareholder.

Shareholder 1

Full name/s and surname

Contact number

Contact number

Email

Shareholder 2

Full name/s and surname

Contact number

Contact number

Email

Shareholder 3

Full name/s and surname

Contact number

Contact number

Email

Shareholder 4

Full name/s and surname

Contact number

Contact number

Email

Verification (provide certified copies of the documents listed)

Share certificates or a share register in respect of shareholders holding 25% or more of the shares or voting rights in the client.

Initial

11. SHAREHOLDERS

Information Required

Please provide the following information where applicable - where the above-listed shareholder is:

11A. A NATURAL PERSON

A certified copy of the person's green bar-coded ID document, valid SA driver's license (or valid passport if foreign).

Full name/s

ID or passport number

Date of birth

Physical address

Nationality (if not South African)

Code

11B. A PRIVATE COMPANY OR CLOSE CORPORATION (FOREIGN OR LOCAL):

Most recent certificate of incorporation and notice of registered office and postal address, bearing the stamp of the Register of Companies and signed by the company secretary.

Proof of business address such as a utility bill, bank statement or similar document (not older than three months).

Registered name of business

Registration number (if applicable)

Registered address

Business address

Code

Code

Trade name

Initial

11F. DECLARATION

We confirm that the above information is true and correct to the best of our knowledge and belief, and enclose copies of the requested verification documentation.

POPI DECLARATION

1. I/We acknowledge that any personal information supplied to Fedgroup is provided voluntarily and that Fedgroup may not be able to comply with its obligations if the correct personal information is not supplied.
2. I/We understand that privacy is important to Fedgroup and that they will use reasonable efforts in order to ensure that any personal information in their possession or processed on their behalf is kept confidential, stored in a secure manner and processed in terms of South African law and or applicable Data Protection Legislation, for the purposes I have authorised.
3. I/We warrant that all information, including personal information, supplied to Fedgroup is accurate and current and agree to correct and update such information when necessary.
4. By submitting any personal information to Fedgroup in any form, I/we acknowledge that such conduct constitutes a reasonable unconditional, specific and voluntary consent to the processing of such personal information by Fedgroup with third parties or suppliers for purposes of fulfilling its obligations and other legitimate purposes
5. Personal information may be retained by Fedgroup and for as long as it is necessary to fulfil its obligations as set out in this contract or policy, unless:
 - retention of the record is required or authorised by law; or
 - I/we have consented to the retention of the record.
6. I/We hereby authorise Fedgroup to collect and process personal information provided and conduct background screening checks including, but not limited to, fraud prevention or detection, ID verification and bank account verification.
7. Personal information may be transferred cross-border to countries, which do not necessarily have data-protection laws similar to South Africa, for verification or storage purposes. In any cross-border transfer of personal information the recipient will be notified of the need to protect the confidentiality of the personal information.
8. I/We take note that if Fedgroup has utilised the personal information contrary to the privacy and information protection conditions, I/we may first resolve any concerns with Fedgroup. If I/we am/are not satisfied with such process, I/we have the right to lodge a complaint with the Information Regulator.
9. A copy of personal information held by Fedgroup will be furnished to me/us upon request in terms of the provisions of the Protection of Personal information Act (POPIA) or Promotion of Access to Personal information Act (PAIA) and I understand that I/we may dispute any information in the record provided.
10. I/We unconditionally agree to indemnify Fedgroup and its suppliers, acting in good faith in taking reasonable steps to process my personal information lawfully, against any liability that may result from the processing of any personal information provided by me/us. This includes unintentional disclosures of such personal information to, or access by unauthorized persons, and/or any reliance which may inadvertently be placed on inaccurate, misleading, or outdated personal information, provided to Fedgroup by myself or by a third party on my/our behalf.

Keep me updated about your products and services Y N

AUTHORISED PERSON'S SIGNATURE

Signed

(authorised signatory

who warrants his/her authority) on behalf of

(Client name)

Date

D

D

M

M

Y

Y

Y

Y

Initial