



1. Individuals

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
	Minor: Copy of Birth Certificate (abridged or unabridged)
Residential Address	Proof of address not older than 3 months
Bank Particulars	Bank Statement in your name not older than 3 months
Income Tax Number	Documentary evidence of confirming tax registration number

2. In addition, for any person with authority to act on your behalf (e.g., Minor, Legally Incapacitated person or Power of Attorney)

IDENTIFY	VERIFY
Any person with the authority to act on behalf of the client	Certified documentary evidence of authority of the person acting on your behalf
	(e.g., power of attorney, mandate, resolution, court order, letter of authority, letter of executorship etc..)
	AND
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months
Bank Particulars	Bank Statement in your name not older than 3 months
Income Tax Number	Documentary evidence of confirming tax registration number

Head Office: Johannesburg

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 39 Ferguson Road, Illovo
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 P: (+27) 83 659 9086
 E: cpt@isec.co.za



3. Estate Late

3.1 Documents required for Deceased

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smart Card / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Letter of Executorship	Letter of Executorship
Bank Particulars	Bank Statement in the name of the estate late not older than 3 months
Income Tax Number	Documentary evidence of confirming tax registration number
Authorised individual to interact with ISEC	Letter of Executorship or resolution by executors, power of attorney

3.2 Documents required for the Executor

IDENTIFY	VERIFY
Full Name and Surname:	ID Document / Smart Card / Passport
Date of Birth:	ID Document / Smartcard / Passport
Identity Number:	Resident: ID Document / Smart Card
	Non-Resident: Valid Passport (Noted by a notary of public)
Residential Address	Proof of address not older than 3 months

Directors LK Faure, RJ Macmillan, JG Solms

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Important notes pertaining to the CDD

1. Please note that all documentation provided must either:
 - i. An original, or
 - ii. A copy of the original document sighted by an Independent Securities employee, or
 - iii. A copy of the original document certified by an Independent Commissioner of Oaths (Note: Certification must contain date, full name, title and signature of the Commissioner of Oaths and wording should stipulate "Certified a true copy of". Where the document being commissioned is more than one page, the stamp/full commission must appear on either the front or back page. In the case of High-Risk clients certified documents may not be older than 3 months (date of Commissioner of Oaths signature).
2. Documents should be of good quality, ensure that you are able to identify the picture in identity documents, and the registration numbers of the company on the various company documentation should be clear.
3. Ensure that the person/s signing on behalf of the party is authorised to do so.
 - i. Check the rules and any amendments in the case of organisations.
 - ii. In the event of a company, where the directors are not the mandated officials, the document needs to set out who the authorised signatories are, with specimen signatures.
4. Proof of address cannot be older than 3 months and has to state the physical street address as well as the entity or individuals name; stand number/s and P.O. Box addresses are insufficient, If a utility bill is unavailable the address needs to be verified by one of the following methods, provided the documents are not older than 3 months and states the physical street address as well as the entity or individuals name:
 - i. A site visit to the residential address of the person seeking to open an account by a staff member and/or director. A standard declaration confirming the client's details must be completed, dated and signed by the person doing the visit.
 - ii. An original bank statement or mortgage (bond) statement issued by a bank registered in terms of the Banks, reflecting the name and residential address of the person; or
 - iii. An original lease or rental agreement reflecting the name and residential address of the person; or
 - iv. An original short term insurance contract covering the building and/or contents at the client's residential address reflecting the name of the person; or
 - v. Tax return, correspondence or any other official document issued by SARS on their letterhead.
 - vi. An original telephone or cellular account reflects the name and residential address of the person.
 - vii. Body corporate correspondence or share block correspondence.
5. Where the client is unable to provide any of the above documents in their own name because he/she lives with someone else (cohabitant) then we require:
 - i. Details of the cohabitant.
 - ii. ID document or passport (When not a South African citizen) of the cohabitant.
 - iii. A utility bill or one of the documents mentioned in (d) above, not older than 3 months and in the name the cohabitant confirming the residential address.
Have the cohabitant complete a cohabitants declaration and attach the required documents.
6. Certificates of name change (CM9) are required each time the company undergoes a name change.
7. All resolutions and documents (e.g., such as the rules of a fund) must be signed correctly for such documents to be acceptable.

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Independent Securities

Your Investment Partner

8. Vat and tax registration numbers must be verified by a document issued by SARS.
9. A copy of a bank statement (not older than 3 months) will be required to confirm banking details
10. Where a company is formed by means of an Act or by Parliament, a copy of the relevant Act (or referring us to the relevant Act), the list of mandated officials, and all relevant documents pertaining to their appointment

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