
In terms of the Financial Intelligence Centre Act 38 of 2001 ("FICA"), and the regulations thereto, Gryphon Collective Investments is compelled to identify and verify the identity of its clients.

We require the following original documents, or a certified copy of the following original documents:

Natural Persons:

1. SA Citizen/Resident

- 1.1. ID Document
- 1.2. Proof of Residential Address (less than three months old)
- 1.3. A document(s) confirming Income Tax Number as registered with SARS

2. Foreign Citizens

- 2.1. Copy of Passport
- 2.2. Proof of Residential Address (less than three months old)
- 2.3. Proof of Source of Funds

3. Minor

- 3.1. Acting on Behalf of a Minor Form
- 3.2. Birth certificate
- 3.3. Guardian's FICA
- 3.4. FICA of the person investing on behalf of the minor (if different to the guardian)

Legal Persons:

4. SA Companies

- 4.1. Certificate of Incorporation (CM1 or CoR15.2), Certificate of Change of Name of Company (CM9), where applicable, Notice of Registered Office & Postal Address (CoR21) bearing Registrar's stamp and signed by the Company Secretary and Certificate of confirmation issued by Cipro of Register of Directors, Auditors and Officer (CoR39) bearing the Registrar's stamp.
- 4.2. Proof of Business Address (less than 3 months old).
- 4.3. Documents as set out in 1.1 and 1.2 above in respect of the manager, all authorised representatives, all directors, and all individuals holding 25% or more of the voting rights at a general meeting.
- 4.4. Proof of Authority to act for company i.e. Director's resolution.
- 4.5. Document(s) confirming Income Tax Number as registered with SARS.
- 4.6. Documents as set out in 4.1 & 4.2 for legal persons holding 25% or more of the voting rights at a general meeting.

5. SA Close Corporations

- 5.1. Founding Statement & Certificate of Incorporation (CK1) & Amended Founding Statement (CK2), if applicable, containing Registrar's stamp and signed by an authorised representative/employee.
- 5.2. Proof of Business Address (less than 3 months old).
- 5.3. Document(s) confirming Income Tax Number as registered with SARS.
- 5.4. Documents as set out in 1.1 and 1.2, as applicable in respect of each member and all authorised representatives.
- 5.5. Proof of Authority to act for close corporation i.e. member's resolution.

6. Foreign Companies

- 6.1. Official document from foreign regulator witnessing incorporation, bearing the name, number and address.
- 6.2. Proof of Business Address (less than 3 months old).
- 6.3. Documents as set out in 1.1 and 1.2 above in respect of the SA manager, all authorised representatives, all directors, and all individuals holding 25% or more of the voting rights at a general meeting.
- 6.4. Proof of Authority to act for company i.e. Director's resolution.
- 6.5. Applicable documents in respect of legal persons holding 25% or more of the voting rights at a general meeting.

7. Retirement Funds

7.1 Registered pension/provident/medical aid schemes

- 7.1.1 Copy of Certificate of Registration issued by the Registrar of Pension Funds.
- 7.1.2 Registration Number of Pension Fund on a Financial Services Board letterhead (if it does not appear on the Certificate of Registration).
- 7.1.3 List of authorised signatories with ID and proof of address not older than 3 months for each individual.

7.2 Non-registered pension/provident/medical aid schemes

- 7.2.1 Trust Deed or Founding Document.
- 7.2.2 Certificate of Registration.
- 7.2.3 Name and details of the Principal Officer.
- 7.2.4 Names of the appointed trustees.
- 7.2.5 Proof of Appointment of authorised person/s (resolutions) with copy of ID and Proof of Address (not older than 3 months).
- 7.2.6 Proof of Registered Address.
- 7.2.7 Bank statement or cancelled cheque reflecting Proof of Banking Details.
- 7.2.8 Bank statement or cancelled cheque reflecting Proof of Banking Details.

Due diligence for trustees, Principal Officer and authorised persons:

- If individuals, as per individual requirements i.e. copy of ID or passport and verification of residential address via utility bill not older than 3 months;
- If legal entities, as per requirements for the legal entity as per the type to the level of ultimate beneficial owner/beneficiary.

8. Other Legal Persons (e.g. clubs, associations, body corporates, retirement funds)

- 8.1. The constitution or other founding document in terms of which legal person is created.
- 8.2 Document(s) confirming Income Tax Number as registered with SARS (if applicable).
- 8.3 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 8.4 Proof of Authority to act for legal person.

9. Partnerships

- 9.1. Partnership agreement.
- 9.2 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 9.3 Proof of Authority to act for partnership.
- 9.4 Applicable documents in respect of any legal person or an institution exercising executive control.

10. Trusts

- 10.1. The main deed or other founding document such as a will.
- 10.2 Letters of Authority from Master (SA trust) or foreign regulator (foreign trusts) to trustees.
- 10.3 Document(s) confirming the Income Tax Number as registered with SARS.
- 10.4 Documents as set out in 1.1 and 1.2 above in respect of an individual founder of the trust, each individual trustee, each individual beneficiary, all authorised representatives.
- 10.5 A Death Certificate or Certificate of Deregistration where founder died or ceased to exist.
- 10.6 Documents as set out in 4.1 and 4.2 above in respect of any institutional beneficiaries, any institutional trustees or institutional founder of the trust.

11. Estate Late

- 11.1 For the deceased we require the following:
 - o Copy of death certificate
 - o Copy of ID
- 11.2 Bank details of estate late account
- 11.3 From the executor/s we require the following:
 - o Copy of ID
 - o Appointment letter
 - o Proof of address (less than three months old)
- 11.4 Copy of SARS document confirming the income tax number of the Deceased Estate (Estate must be register with SARS as a Deceased Estate)