

**FICA QUESTIONNAIRE FOR NATURAL PERSONS ACTING ON BEHALF OF COMPANIES AND CLOSE CORPORATIONS**

**COMPANIES AND CLOSE CORPORATIONS**

1	<p>What is the company or close corporation's name and registration number?</p> <p><b>[Note: The Client is <u>not</u> the person filling in the form, but the company or close corporation on behalf of which the form is being filled.]</b></p>	
2	<p>Does the company or close corporation have a presence in South Africa (ie assets, operations or business premises)? If "yes", please provide details.</p>	
3	<p>If the Client is a <b><u>listed</u></b> public company, please indicate the stock exchange on which it is listed.</p>	
4	<p>If the company or close corporation is dealing with <b>NRE</b> on behalf of another person (ie a Principal), what is that Principal's full name and contact details?</p>	
5	<p>What is the source of the company or close corporation's authority to deal with <b>NRE</b> on that Principal's behalf?</p>	
6	<p>What is <b><u>your</u></b> full name and contact details (ie the person completing this Questionnaire on behalf of the company or close corporation)?</p>	
7	<p>What is the source of your authority to complete this Questionnaire and deal with <b>NRE</b> on the company or close corporation's behalf (ie authorisation letter, power of attorney, or similar instrument)?</p>	
8	<p>Please describe the type of service that the company or close corporation seeks from <b>NRE</b>, and also the purpose for which that service is sought.</p>	
9	<p>Will the company or close corporation require <b>NRE</b> to perform the service in terms of a single Transaction (once-off only) or in terms of a Business Relationship (more than one Transaction over a certain period of time)?</p>	

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10	If the company or close corporation requires a Business Relationship, how will any of the payments owed to <b>NRE</b> under the Business Relationship be financed?	
11	Will any of the payments referred to in the previous question involve a payment by the company or close corporation, or by its Representative, of R25 000 or more in cash (ie paper money, coins or traveller's cheques)?	
12	Please describe the company or close corporation's business (ie what industry it is in, what products / services it sells etc).	
13	<p>What is the company or close corporation's ownership and control structure?</p> <p><b>[Note: This question is about whether the Client is part of a fairly simple ownership structure in terms of which its assets are directly owned or controlled by an easily determinable number of natural persons (which will <u>almost always</u> be the case for a close corporation), or whether the Client is part of a more complex structure, in terms of which it is not as easy to determine the natural persons who directly own and control the Client's assets.]</b></p>	
14	<p>Do you or a family member now occupy, or have you or a family member in the past 12 months occupied, any of the following positions in any country other than South Africa? If "yes", please indicate the position that you occupy(ied).</p> <ul style="list-style-type: none"> <li>• Head of state</li> <li>• Member of the royal family</li> <li>• Cabinet member</li> <li>• Senior member of a political party</li> <li>• Senior judicial officer</li> <li>• Senior executive of a state-owned entity</li> <li>• High rank in the military</li> </ul>	
15	If you responded "yes" to the previous question, please indicate the source of your wealth.	

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16 Do you or a family member now occupy, or have you or a family member in the past 12 months occupied, any of the following positions in South Africa? If "yes", please indicate that position that you occupy(ied).

- President or deputy president of South Africa
- Cabinet minister or deputy minister
- Premier of a province
- MEC of a province
- Mayor of a municipality
- Leader of a political party
- Member of a royal family
- Senior traditional leader
- Head, accounting officer or CFO of a national or provincial department
- Manager or CFO of a municipality
- Chairperson, CEO, accounting authority, CFO or chief investment officer of a public entity
- Judge
- Ambassador, high commissioner or other senior representative of a foreign country based in South Africa
- Chairperson of board of directors, chairperson of audit committee, executive officer or CFO of a company doing more than **[INSERT AMOUNT ONCE GAZETTED]**'s worth of business with the government

17 If you responded "yes" to the previous question, please indicate the source of your wealth.

18 Who are the ultimate beneficial owners of the company or close corporation?

**METHOD 1**

- Names of ultimate natural persons who individually or collectively own a majority (25%) of the company's shares or close corporation's members' interests

**OR**

**METHOD 2**

- Names of ultimate natural persons who individually or collectively control the company or close corporation (ie have a material influence on the company or close corporation's operations)

**OR**

**METHOD 3**

- Names of company or close corporation's executive managers

**[Note: For a close corporation, the ultimate beneficial owners are the members of the close corporation who, individually or acting together, own 25% of the members' interests, and who are almost always natural persons. For a company, the ultimate beneficial owners or controllers are the natural persons who, individually or acting together, ultimately own 25% or more of the shares of the company, or otherwise control the company (for instance through a shareholders agreement). For example, if Company A (a Client of the Business) is 25% owned by Company B, and Company B is in turn 100% owned by John Smith, then John Smith is the ultimate beneficial owner of Company A, even though he is not the legal owner of the 25% stake in Company A.**

**Please fill in this row based on the available information and considerations of practicality, choosing the most suitable of the 3 given methods of identifying the natural persons who benefit from the assets and income of the company.]**

<b>FOR OFFICE USE ONLY</b>	
FULL NAME OF EMPLOYEE ADMINISTERING QUESTIONNAIRE	
Were all required documents as per NRE's RMCP obtained, scanned, saved and verified?	<b>YES / NO</b>
Do you classify this client as a LOW RISK or HIGH RISK client according to NRE's RMCP?	<b>LOW / HIGH</b> (Risk Officer approval)
SIGNATURE	
DATE	