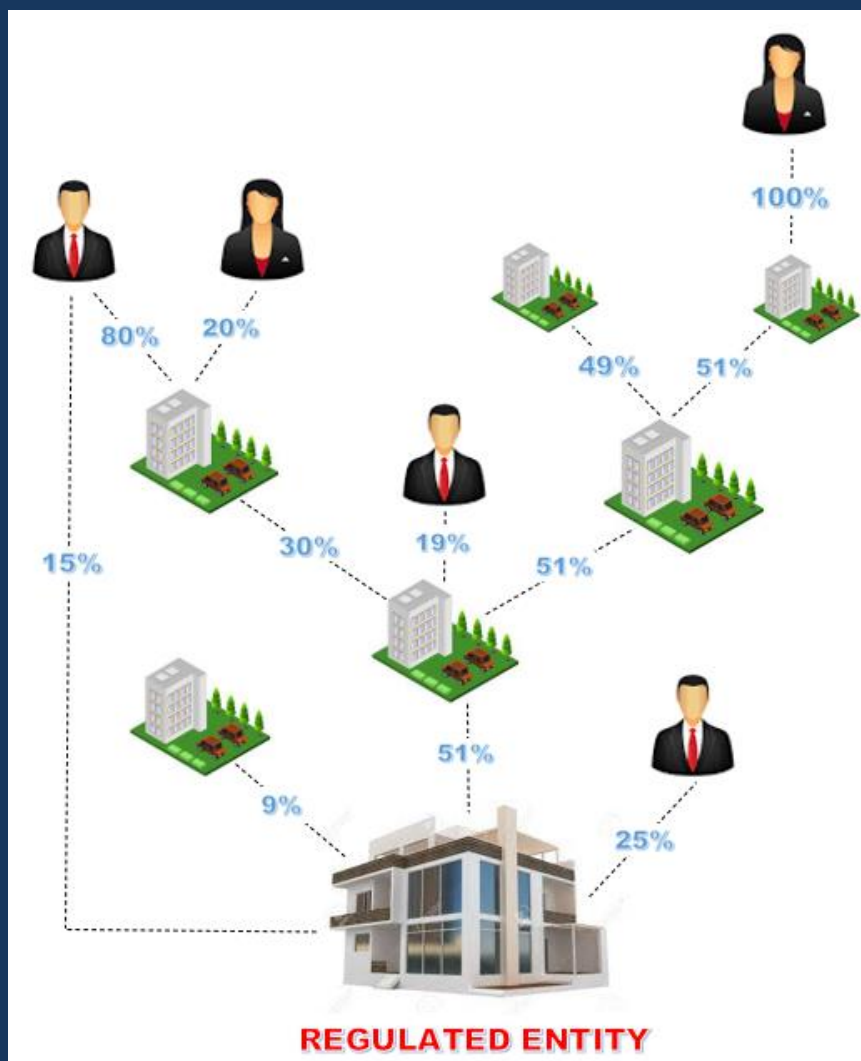


# User Guide

# BENEFICIAL OWNERSHIP (BO)

# INFORMATION

## CIS



## 1. Purpose of the user guide

The purpose of the user guide is to assist impacted financial institutions (Users) to complete the beneficial ownership information outlined in the FSCA Information Request 6 of 2022 on the E-Portals.

## 2. Process

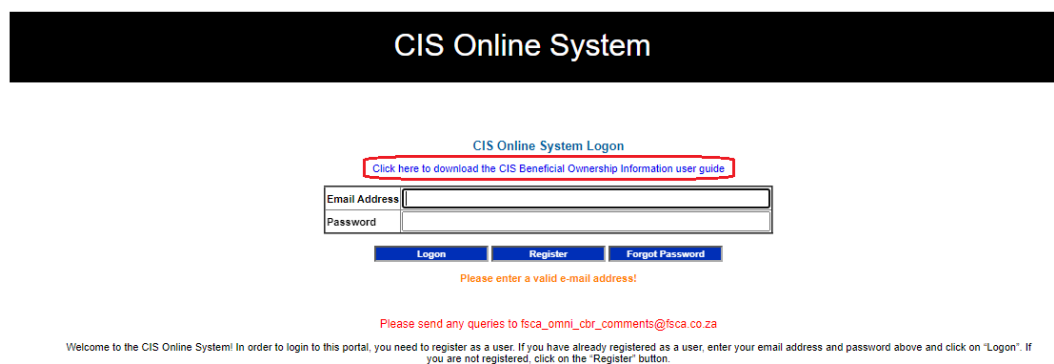
Please note that only the Compliance Officer (CO) of a Manco can login/register to use the CIS E-Portal to submit the BO information.

The following is a step-by-step process that Users should follow when completing information on the E-Portals:

### *User guide*

The user guide on how to complete the collection of the BO information can be accessed on the logon page of the CIS E-Portal and the main screen of the BO information.

The screen below shows you where you can find the user guide on the logon page.



CIS Online System

CIS Online System Logon

[Click here to download the CIS Beneficial Ownership Information user guide](#)

Email Address

Password

[Logon](#) [Register](#) [Forgot Password](#)

Please enter a valid e-mail address!

[Please send any queries to fsc\\_a\\_omni\\_cbr\\_comments@fsc\\_a.co.za](mailto:fsc_a_omni_cbr_comments@fsc_a.co.za)

Welcome to the CIS Online System! In order to login to this portal, you need to register as a user. If you have already registered as a user, enter your email address and password above and click on "Logon". If you are not registered, click on the "Register" button.

### 2.1 Registered Users

To access the CIS/Hedge Funds e-Portal, go to the FSCA website, select

- Regulated Entities, E-Services, CIS / Hedge Funds, CIS / Hedge Funds Online Submissions
- alternatively you can click on the link below to take you to the logon page,

[https://www.fsc\\_a.co.za/MagicScripts/mgrqispi.dll?APPNAME=Web&PRGNAME=FSB\\_Online\\_Logon&ARGUMENTS=-N12](https://www.fsc_a.co.za/MagicScripts/mgrqispi.dll?APPNAME=Web&PRGNAME=FSB_Online_Logon&ARGUMENTS=-N12)

- If your e-mail address has changed, please send an e-mail to [cis.applications@fsca.co.za](mailto:cis.applications@fsca.co.za) to have your e-mail address updated

## CIS Online System

CIS Online System Logon

[Click here to download the CIS Beneficial Ownership Information user guide](#)

Email Address	<input type="text"/>
Password	<input type="password"/>

Please enter a valid e-mail address!

Please send any queries to [fsca\\_omni\\_cbr\\_comments@fsca.co.za](mailto:fsca_omni_cbr_comments@fsca.co.za)

Welcome to the CIS Online System! In order to login to this portal, you need to register as a user. If you have already registered as a user, enter your email address and password above and click on "Logon". If you are not registered, click on the "Register" button.

### 2.2 Unregistered Users

If a User is not registered on the CIS E-Portal, complete the information on the below screen,

CIS Online System Registration

Email Address	<input type="text"/>
Name	<input type="text"/>
Surname	<input type="text"/>

Please enter a valid e-mail address!

If you have any enquiries please contact the FSCA call centre - 0800 20 37 22

After providing your details above and clicking on "Register", you will receive an email with instructions to modify your profile

- Click on "Register" and a password will be sent to the e-mail address of the approved CO.

### 2.3 Capturing of BO Information

Once logged in the Beneficial Ownership option will be at the bottom of the CIS menu. Select "Beneficial Ownership" to proceed. The User can also access the user guide on this page.

# CIS Online System

**CIS Online Menu**  
User Name: \_\_\_\_\_

[Click here to download the Guidance Notes](#)

**Online Home Menu**  
Please select the menu below:

**Menu**

- Registration  
Applications for new CIS, amendments, amalgamations and terminations for CIS.
- Statutory Reporting  
Submission of Statutory Reports and Returns including Capital Adequacy reports, Annual Financial Statements, Mark to market report, Quarterly Portfolio holding reports and compliance certificates/reports, Quarterly Foreign Scheme Statistics.
- Information Disclosure  
Submission of advertising, marketing and information disclosure requirements for CIS.

**User Administration**

- User Administration  
Update user rights to be able to submit information on behalf of the Manager or Foreign Scheme it represents.

**CIS Menu**

- Home
- Registration
- Statutory Reporting
- Information Disclosure
- User Administration
- Maintain RFI data
- Beneficial Ownership**

2.4 After selecting the Beneficial Ownership on the above screen, the screen below will display where you can select the Manco to capture the beneficial ownership information. Foreign Mancos do not need to capture beneficial ownership information, therefore the 'Select' option will not be displayed.

**CIS Online System**

**Select Management Company**

Manco Number:	Full Name of Company:	
000	Test Foreign Manco	
000	Test Local Manco (Pty) Ltd	<a href="#">Select</a>
		<a href="#">Back</a>

Note that if there is only one Manco linked to the CO profile this screen will not be displayed.

### 3. Direct Ownership Information

3.1 The User will be directed to the screen below for capturing direct ownership information by clicking the "New Ownership Record On This Level" button. The User can also access the user guide on this page

## BENEFICIAL OWNERSHIP

[Click here to download the CIS Beneficial Ownership Information user guide](#)

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Ltd
Registration Number	1991/000881/06
Legal Entity	COMPANY

Ownership Records						
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %
<a href="#">New Ownership Record On This Level</a> <a href="#">Back</a>						

3.2 The User will then be directed to the screen below (type of legal entity)

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Ltd
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	Please Select A Legal Entity
Name *	
Surname *	
Identity Type *	

Fields marked with \* are compulsory.

[Submit New Input](#) [Back](#)

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**\*\*\*Note:** The information to be captured on the screen above is on the first level. After capturing all the direct ownership information on this level, you will then be able to capture Beneficial Ownership information on the "Next Ownership Level". Take note of the exclusions below:

### Next Ownership Level button disabled for the following reasons:

1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.
2. Total Ownership % on this level may not exceed 100%.
3. The entity is a FSCA Regulated Entity and no further action required.
4. The entity is a Natural Person and no further action required.
5. The entity is a State-Owned Company and no further action required.

3.3 Below are examples of the screens that will appear based on your selection of the legal entity outlined in 3.2:

#### a) Close Corporation

BENEFICIAL OWNERSHIP

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Ltd
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	CLOSE CORPORATION
Entity Name *	
Identity Type *	Company Registration Number
Company Registration Number(CIPC) *	yyyy/cccccc/xx e.g. 2006/161509/23>
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with \* are compulsory.

[Submit New Input](#) [Back](#)

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b) Company

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Ltd
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	COMPANY
Entity Name *	
Type of Company *	Please Select A Type of Company
Identity Type *	Company Registration Number
Company Registration Number(CIPC) *	yyyy/cccccc/xx e.g. 2006/161509/23>
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with \* are compulsory.

[Submit New Input](#) [Back](#)

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c) Cooperative

## BENEFICIAL OWNERSHIP

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	COOPERATIVE
Entity Name *	
Identity Type *	Company Registration Number
Company Registration Number(CIPC) *	yyyy/xxxxxx/xx e.g. 2006/161509/23>
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with \* are compulsory.

[Submit New Input](#) [Back](#)

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### d) Natural Person

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	NATURAL PERSON
Name *	
Surname *	
Identity Type *	Please Select An Identity Type
Company Registration Number(CIPC) *	yyyy/xxxxxx/xx e.g. 2006/161509/23>
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Cell Phone No.	e.g. +27 82 5566200 (Country code / Area code / Number)
Email Address	
Nationality *	Please Select A Nationality
Country of Residence *	Please Select A Country of Residence
Politically Exposed Person? *	

Fields marked with \* are compulsory.

[Submit New Input](#) [Back](#)

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### e) Partnership

**BENEFICIAL OWNERSHIP**

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	<b>PARTNERSHIP</b> ▼
Entity Name *	<input type="text"/>
Ownership Percentage *	<input type="text"/> e.g. 80.51
Ownership Obtained Date *	<input type="text"/>
Jurisdiction *	Please Select A Jurisdiction ▼

Fields marked with \* are compulsory.

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### f) Trust

**BENEFICIAL OWNERSHIP**

Regulated Entity	
Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	<b>TRUST</b> ▼
Entity Name *	<input type="text"/>
Identity Type *	Trust Registration Number ▼
Trust Registration Number *	<input type="text"/>
Ownership Percentage *	<input type="text"/> e.g. 80.51
Ownership Obtained Date *	<input type="text"/>
Jurisdiction *	Please Select A Jurisdiction ▼

Fields marked with \* are compulsory.

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g) Union

**BENEFICIAL OWNERSHIP**

**Regulated Entity**

Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Entity *	UNION
Entity Name *	
Ownership Percentage *	e.g. 80.51
Ownership Obtained Date *	
Jurisdiction *	Please Select A Jurisdiction

Fields marked with \* are compulsory.

Submit New Input
Back

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3.4 The following screen will be displayed after the user has captured the required direct ownership information:

Confirmation

Please confirm that the Regulated Entity ownership information captured is correct

Ownership Records

Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %	TOTAL OWNERSHIP % 25.00		
TEST 1223	Company Registration Number	1997/345067/78	COMPANY	SHAREHOLDER	PRIVATE COMPANY	20.00	<span style="background-color: blue; color: white; padding: 2px;">Update Record</span>	<span style="background-color: blue; color: white; padding: 2px;">Delete Record</span>	<span style="background-color: gray; color: white; padding: 2px;">Next Ownership Level</span>
ABC	Company Registration Number	1998/678005/89	CLOSE CORPORATION	SHAREHOLDER		5.00	<span style="background-color: blue; color: white; padding: 2px;">Update Record</span>	<span style="background-color: blue; color: white; padding: 2px;">Delete Record</span>	<span style="background-color: gray; color: white; padding: 2px;">Next Ownership Level</span>
TOTAL OWNERSHIP % 25.00									

New Ownership Record On This Level
Back

Next Ownership Level button disabled for the following reasons:

1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.

**\*\*\*Note:** If the direct ownership information has been captured and the “Next Ownership Level” is still disabled you can only continue once you have confirmed that the information on this level is completed by checking the confirmation checkbox above. Take note of point no.1 under “Next Ownership Level button disabled for the following reasons”.

3.5 The User can update or delete any information captured.

## 4. Updating BO information

4.1 To update a record click on “Update Record”

**BENEFICIAL OWNERSHIP**

**Regulated Entity**

Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Ownership Records						
Name and Surname / Entity Name	Identify Type	Identify Number	Legal Entity	Role	Type of Company	Ownership %
ABC	Company Registration Number	1983/054784/87	CLOSE CORPORATION	MEMBER		20.00
TEST 1223	Company Registration Number	1986/87805/09	COMPANY	MEMBER	PRIVATE COMPANY	5.00
TEST ABC	SA ID Number	6282065918987	NATURAL PERSON	MEMBER		75.00
<b>TOTAL OWNERSHIP %</b>						<b>100.00</b>

Click on this button to update previously updated information. Note that key information cannot be updated.

New Ownership Record On This Level Back

4.2 Update information as follows:

**BENEFICIAL OWNERSHIP**

**Regulated Entity**

Manco No. and Name	999 Test Local Manco (Pty) Lty
Registration Number	1991/000881/06
Legal Entity	COMPANY

Legal Capacity *	CLOSE CORPORATION
Entity Name *	ABC
Identify Type *	Company Registration Number
Company Registration Number(CIPC) *	1983/654784/87 <small>yyyy/xxxxxxx/ e.g. 2006/181509/23-</small>
Ownership Percentage *	20.00 <small>e.g. 80.51</small>
Ownership Obtained Date *	04/04/2022
Jurisdiction *	South Africa

Fields marked with \* are compulsory.

Submit Updated Input Back

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4.3 Click on “Submit Updated Input”

## 5. Deleting BO information

5.1 To delete a record click on “Delete Record”

**BENEFICIAL OWNERSHIP**

**Regulated Entity**

Manco No. and Name: 999 Test Local Manco (Pty) Lty

Registration Number: 1991/000881/06

Legal Entity: COMPANY

Ownership Records									
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %	Update Record	Delete Record	Next Ownership Level
ABC	Company Registration Number	1983/454784/07	CLOSE CORPORATION	MEMBER		20.00	Update Record	Delete Record	Next Ownership Level
TEST 123	Company Registration Number	1990/67005/09	COMPANY	MEMBER	PRIVATE COMPANY	5.00	Update Record	Delete Record	Next Ownership Level
TEST ABC	SA ID Number	8202985018987	NATURAL PERSON	MEMBER		75.00	Update Record	Delete Record	Next Ownership Level
<b>TOTAL OWNERSHIP %</b>						<b>100.00</b>	<small>Click on this button to delete this record. Take note all information captured on lower levels for this entity will also be deleted!</small>		

[New Ownership Record On This Level](#)    [Back](#)

**Important Note :** Please read the pop-up message before clicking the Delete Record button.

Click on this button to delete this record. Take note all information captured on lower levels for this entity will also be deleted!

## 6. Indirect Ownership

6.1 Below are examples of the screens that will appear when you capture indirect ownership information on the “Next Ownership Levels”.

6.2 Click on “Next Ownership level” as displayed below:

**Confirmation**

Please confirm that the Related Entity ownership information is correct

Ownership Records									
<b>TOTAL OWNERSHIP % 60.00</b>									
Name and Surname / Entity Name	Identity Type	Identity Number	Legal Entity	Role	Type of Company	Ownership %	Update Record	Delete Record	Next Ownership Level
ABC	Company Registration Number	1676/870654/75	COOPERATIVE	SHAREHOLDER		50.00	Update Record	Delete Record	Next Ownership Level
TES554	Company Registration Number	1983/003456/78	CLOSE CORPORATION	SHAREHOLDER		10.00	Update Record	Delete Record	Next Ownership Level
<b>TOTAL OWNERSHIP %</b>						<b>60.00</b>			

[New Ownership Record On This Level](#)    [Back](#)

**Next Ownership Level button disabled for the following reasons:**

1. Total Ownership % on this level may be less than 100% if there are Natural Persons with ownership percentages of under 5% who are not captured or the entity is a Listed Company, Trust, Co-operative or State Owned Entity.  
The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.

6.3 The User will be required to capture the information on additional indirect ownership by following the steps outlined in No. 3.2.

6.4 The User can update or delete any indirect ownership information captured as outlined in No.4 and 5 above.

**\*\*\*Note:** If the indirect ownership information has been captured and the “Next Ownership Level” is still disabled you can only continue once you have confirmed that the information on this level is completed by checking the confirmation checkbox above. Take note of point no.1 under “Next Ownership Level button disabled for the following reasons”.

## 7. Organogram

7.1 The User will also required to upload the organogram of the Regulated Entity.

7.2 Follow the steps below to upload the organogram:

7.3 Click on “Attachments”.

Please attach a copy of an organogram for this Regulated Entity.

Attachments

7.4 Click on “Add a New Attachment”.

**Beneficial Ownership - View Attachments**

FSCA Registration No	999
Registered Entity Name	Test Local Manco (Pty) Ltd

Back

Record ID	Document Description	Upload Date	Comment	File Name

Add a new Attachment

7.5 Click on “Choose File”.

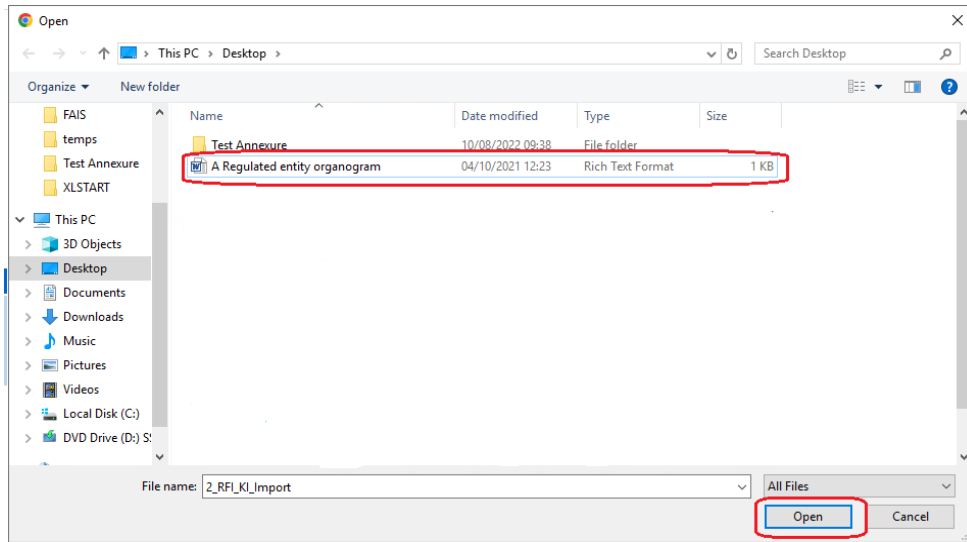
**Beneficial Ownership - View Attachments**

FSCA Registration No	999
Registered Entity Name	Test Local Manco (Pty) Ltd

Back

Nr	Document Description	Comment	Attachment
1	Organogram		<p>Choose File No file chosen No attachment uploaded yet.</p> <p>Upload attachment/comment</p>

7.6 Select the file from saved documents and click on “open”



7.7 The file selected will display on the E-portal

Nr	Document Description	Comment	Attachment
1	Organogram		Choose File <b>A Regulated... ganogram.rtf</b> NO No attachment uploaded yet. <a href="#">Upload attachment/comment</a>

7.8 Click on “Upload Attachment”

Nr	Document Description	Comment	Attachment
1	Organogram		Choose File A Regulated... ganogram.rtf NO No attachment uploaded yet. <b><a href="#">Upload attachment/comment</a></b>

7.9 The screen below will confirm that the attachment has been uploaded

Record ID	Document Description	Upload Date	Comment	File Name
52	Organogram	10/08/2022		<b>A Regulated entity organogram.</b>

[Add a new Attachment](#)

**Important Note:** The uploading of the Organogram is the final step in the process. Once the information is validated on the FSCA Beneficial Ownership database the User will receive a confirmation e-mail.

## 8. Downloading the Excel Template

8.1 To import the beneficial ownership information, download the excel Template by clicking on “download template” as shown below:

**Import Beneficial Ownership Information**

**TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity.**

[Import \(Excel Template\)](#)  
[Download Template](#)

8.2 The Template will appear at the bottom left of your screen, click on it and the Template will open

[New Ownership Record On This Level](#)     [Back](#)

**Next Ownership Level button disabled for the following reasons:**

1. Total Ownership % on this level must be 100% before the next ownership level can be enabled, except if the Regulated Entity is a Listed Company, Trust, Co-operative or State Owned Entity. The next ownership level can only be enabled if it is confirmed that this level is completed by ticking the above confirmation checkbox.
2. Total Ownership % on this level may not exceed 100%.
3. The entity is a FSCA Regulated Entity and no further action required.
4. The entity is a Natural Person and no further action required.
5. The entity is a State-Owned Company and no further action required.

**Organogram**

Please attach a copy of an organogram for this Regulated Entity.     [Attachments](#)

**Import Beneficial Ownership Information**

**TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity.**

[Import \(Excel Template\)](#)  
[Download Template](#)

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Template\_New\_BO...xlsx

8.3 Capture the information as per the instructions on the Template. After completing the Template save it on your computer.

## 9. Importing the Excel Template

9.1 Click on “Import (Excel Template)” as shown below:

**Import Beneficial Ownership Information**

**TAKE NOTE: Imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for this Regulated Entity.**

[Import \(Excel Template\)](#)  
[Download Template](#)

9.2 Click on “Choose File”

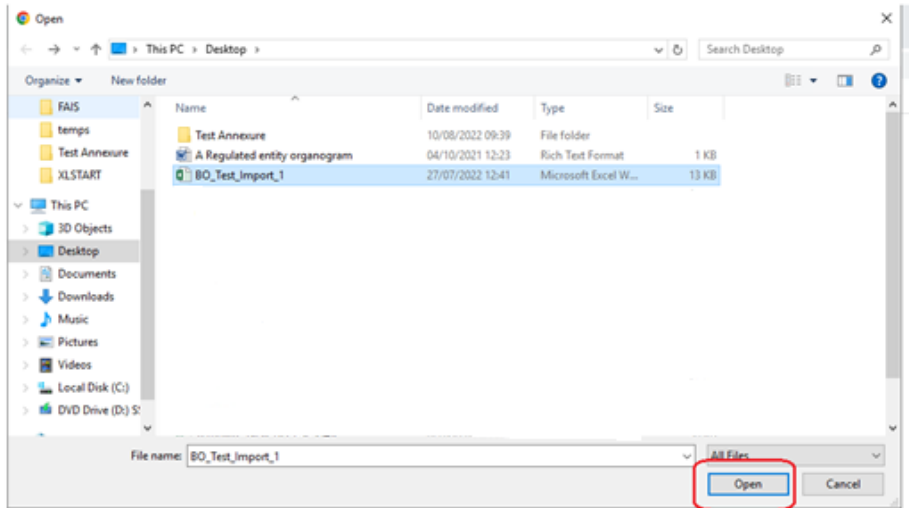
**Beneficial Ownership Information Import**

File To Import     **Choose File**     No file chosen

[Import](#)     [Back](#)

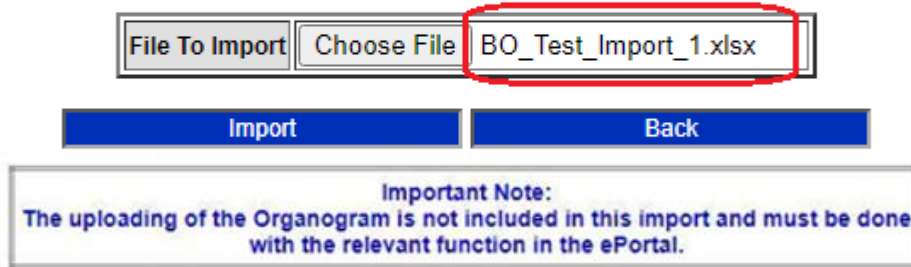
If you have any enquiries please contact FSCA Helpdesk

9.3 Select your file from the saved documents and click on open



9.4 The file selected will display on the e-Portal, and the select “Import”

### Beneficial Ownership Information Import



**Important Note:** The imported information will replace all records currently inserted into the FSCA Beneficial Ownership database for the Regulated Entity.

\*\*\*Note: The organogram must be uploaded on the e-Portal as per the steps outlined in No.7