



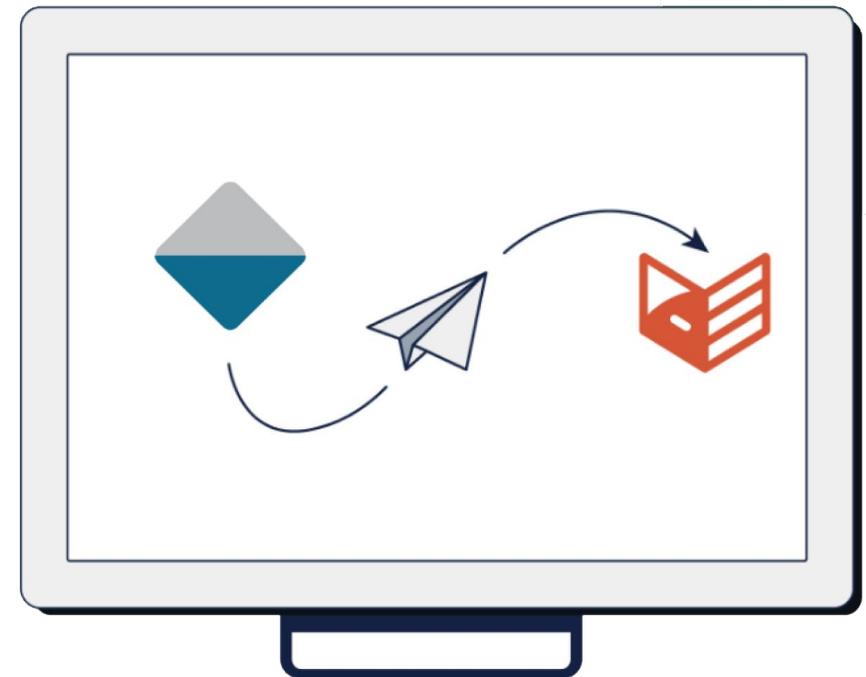
Elite Wealth & DocFox Integration



Why have Elite Wealth & DocFox partnered?

As Accountable Institutions, Wealth & Asset Managers are required to comply with FICA. To simplify the onboarding and FICA process, DocFox and Elite Wealth have integrated their solutions.

FICA requires you to Know Your Client (KYC) by verifying their identity and assessing the risk of doing business with them, prior to commencing a business relationship.



By Elite Wealth integrating with DocFox, we are speeding up the FICA process.

For more information on DocFox visit the website: www.docfox.co.za / email: sales@docfox.co.za

Visit Elite Wealth: www.elitewealth.biz / email: support@elitewealth.biz

The **Key Obligations** in Terms of FICA Include:

- To **register** with the Financial Intelligence Centre (FIC)
- To appoint a **compliance officer**
- To develop, document, maintain and implement FICA's risk-based approach and internal processes consistent with obligations under FICA in terms of a **Risk Management and Compliance Programme (RMCP)**
- To establish and **verify the identity** of clients and **risk rate** clients accordingly
- To understand the **nature and purpose** of a transaction/relationship as well as source of funds
- To screen clients against **sanctions watchlists**, as well as screen for **DPEPs, FPEPs and PIPs**
- To **keep records** of business relationships and transactions
- To **report** receipts of cash above a prescribed amount to the FIC, which is currently a single **cash transaction over R49 999**
- To report **suspicious transactions or activities** to the FIC
- To offer compulsory **FICA training** to all employees

It is a legal requirement for Accountable Institutions to comply with FICA in order to deter, identify and report money laundering, terrorist and proliferation financing.

DocFox is a system that provides:



**Individual &
Juristic Entity
Onboarding**



**Watchlist
& Media
Screening**



**Risk Rating
& Automated
Client Review**



**Bank Account
Verification**



**Compliance
Services**

The Elite Wealth & DocFox integration saves time and effort, and streamlines the entire FICA / KYC process.

How it works

Getting Started

STEP 1: Contact DocFox & inform them that you are an Elite Wealth Customer

STEP 2: Once you have purchased DocFox, included in the onboarding process, DocFox will send a Secret Key which will enable you to integrate your DocFox system into your Elite Wealth system

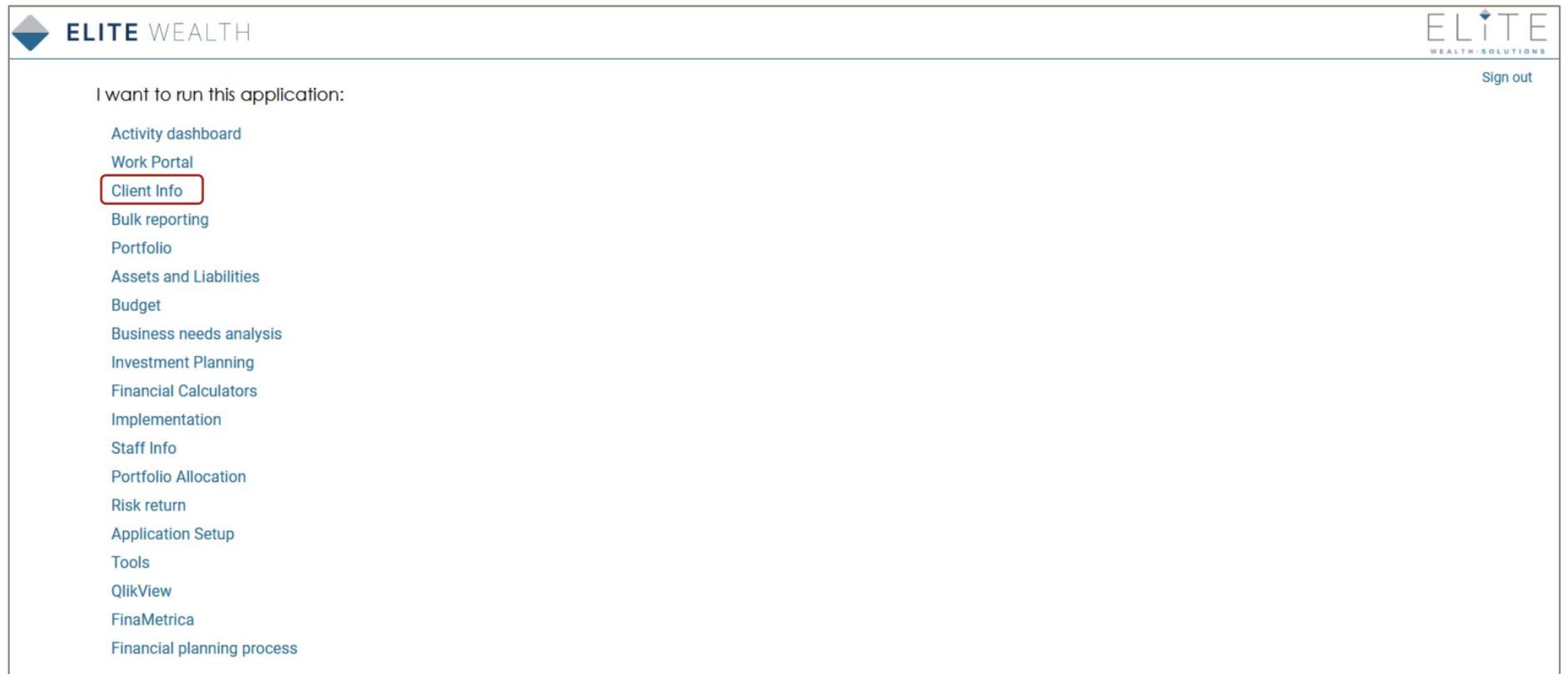


Your clients should initially get added to DocFox to kick off the FICA process. This includes the system automatically performing comprehensive watchlist and media screening against sanctions lists, DPEPs (Domestic Politically Exposed Persons), FPEPs (Foreign Politically Exposed Person) and PIPs (Prominent Influential Persons) lists.

Once FICA has been completed, import the party's details directly to Elite Wealth from the DocFox system. Eliminating the need to recapture information.

How it works

When logging in to Elite Wealth, go to the CLIENT INFO module.



The screenshot displays the Elite Wealth application interface. At the top left is the logo for ELITE WEALTH, consisting of a blue diamond icon followed by the text 'ELITE WEALTH'. At the top right is the logo for ELITE WEALTH SOLUTIONS, with 'ELITE' in a larger font and 'WEALTH SOLUTIONS' below it. In the top right corner, there is a 'Sign out' link. Below the header, the text 'I want to run this application:' is followed by a list of application modules. The 'Client Info' module is highlighted with a red rectangular border. The other modules listed are: Activity dashboard, Work Portal, Bulk reporting, Portfolio, Assets and Liabilities, Budget, Business needs analysis, Investment Planning, Financial Calculators, Implementation, Staff Info, Portfolio Allocation, Risk return, Application Setup, Tools, QlikView, FinaMetrica, and Financial planning process.

ELITE WEALTH

ELITE
WEALTH SOLUTIONS

Sign out

I want to run this application:

- Activity dashboard
- Work Portal
- Client Info
- Bulk reporting
- Portfolio
- Assets and Liabilities
- Budget
- Business needs analysis
- Investment Planning
- Financial Calculators
- Implementation
- Staff Info
- Portfolio Allocation
- Risk return
- Application Setup
- Tools
- QlikView
- FinaMetrica
- Financial planning process

How it works

On the CLIENT INFO summary screen, you can search for an existing client, or create a new one

The screenshot displays the 'CLIENT INFO' summary screen in the ELITE WEALTH system. The top navigation bar includes 'ELITE WEALTH', 'CLIENT', 'PRACTICE', and 'SETUP'. Below this, a secondary navigation bar lists various modules: 'HOME', 'ACTIVITY DASHBOARD', 'WORK PORTAL', 'CLIENT INFO' (highlighted), 'PORTFOLIO', 'ASSETS & LIABILITIES', 'BUDGET', 'INVESTMENT PLANNING', 'FINANCIAL CALCULATORS', 'BNA', and 'IMPLEMENTATION'. The main content area features a row of buttons: 'NEW CLIENT', 'NEW RELATED ENTITY', 'REPORTS', 'PRE-DEFINED LISTS', and 'SMS'. Below these buttons is a search input field with a 'SEARCH' button. Underneath the search field are four checkboxes: 'Include deleted entities?', 'Include staff members?', 'Include Portfolio relations?', and 'Show only clients and potential clients'.

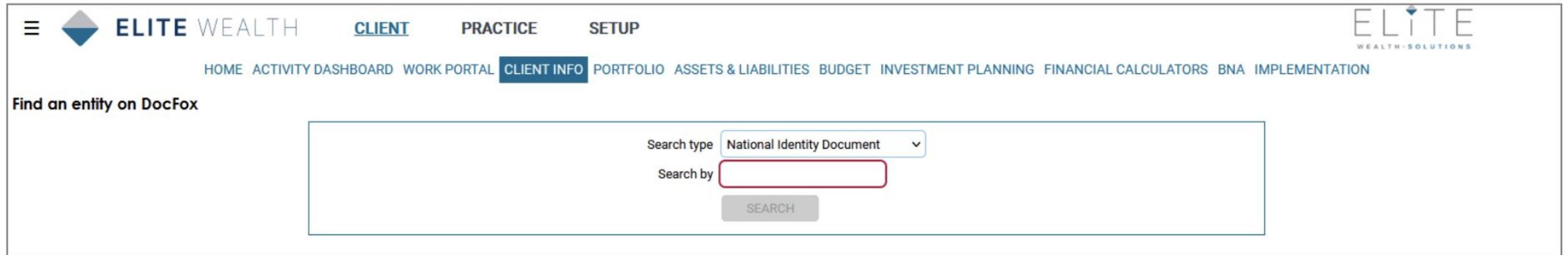
How it works

Expand the menu on the left side of your screen and select “Import from DocFox” below the “Load new” menu item.

The screenshot displays the ELITE WEALTH client management interface. The top navigation bar includes the ELITE WEALTH logo, a hamburger menu icon, and tabs for CLIENT, PRACTICE, and SETUP. Below this is a secondary navigation bar with links to HOME, ACTIVITY DASHBOARD, WORK PORTAL, CLIENT INFO (highlighted), PORTFOLIO, ASSETS & LIABILITIES, BUDGET, INVESTMENT PLANNING, FINANCIAL CALCULATORS, BNA, and IMPLEMENTATION. On the left, a sidebar menu is expanded to show 'Load new' options: Client, Related entity, Import from DocFox (highlighted with a red box), and Import from Glacier Intermediary CRM. Other sidebar categories include Interactions and correspondence, Work, Planning process, Documents, Document templates, Client info, Portfolio, Assets and liabilities, Budget, and Financial planning. At the bottom left of the sidebar is a language dropdown set to 'English'. The main content area features buttons for NEW CLIENT, NEW RELATED ENTITY, REPORTS, PRE-DEFINED LISTS, and SMS. Below these is a search input field with a SEARCH button and four checkboxes: 'Include deleted entities?', 'Include staff members?', 'Include Portfolio relations?', and 'Show only clients and potential clients'.

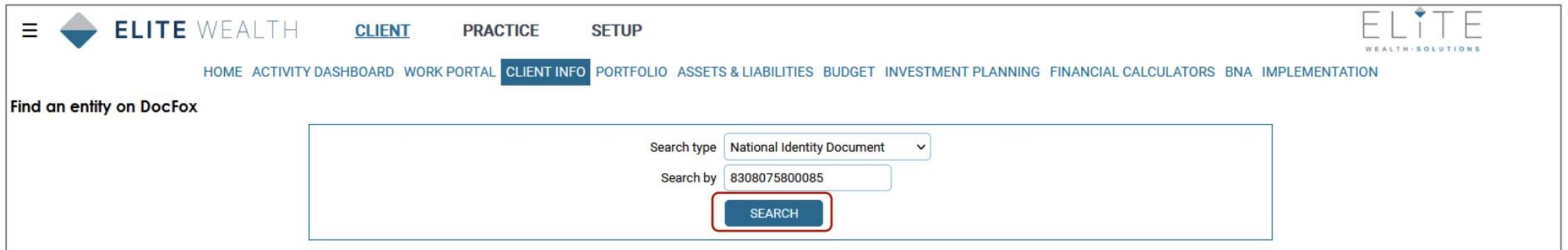
How it works

To import your client's details from DocFox, we need to link the client using either their ID, passport, registration number or enterprise ID.



The screenshot shows the top navigation bar of the Elite Wealth system. The 'CLIENT' tab is selected. Below the navigation bar, there is a search section titled 'Find an entity on DocFox'. The search form includes a dropdown menu for 'Search type' set to 'National Identity Document' and an empty text input field for 'Search by'. The 'SEARCH' button is currently disabled and greyed out.

By entering a valid identification number, you will unlock the SEARCH button.



This screenshot shows the same search form as the previous one, but with the identification number '8308075800085' entered in the 'Search by' field. The 'SEARCH' button is now active and highlighted with a red border.

How it works

The first table reflects the basic information related to the client loaded on the DocFox platform, while the second table indicates any information captured on the Elite Wealth system. The second table will not display any details until the import takes place or details have been captured without an import.

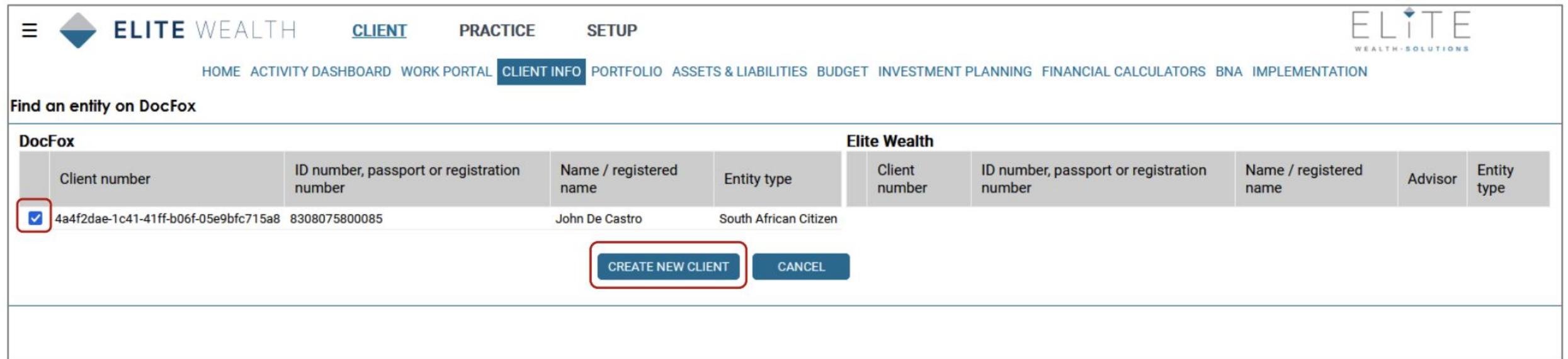
The screenshot shows the 'CLIENT INFO' page in the Elite Wealth system. The navigation bar includes 'ELITE WEALTH', 'CLIENT', 'PRACTICE', and 'SETUP'. Below the navigation bar, there are links for 'HOME', 'ACTIVITY DASHBOARD', 'WORK PORTAL', 'CLIENT INFO', 'PORTFOLIO', 'ASSETS & LIABILITIES', 'BUDGET', 'INVESTMENT PLANNING', 'FINANCIAL CALCULATORS', 'BNA', and 'IMPLEMENTATION'. The main content area is titled 'Find an entity on DocFox' and contains two tables: 'DocFox' and 'Elite Wealth'.

DocFox				Elite Wealth				
Client number	ID number, passport or registration number	Name / registered name	Entity type	Client number	ID number, passport or registration number	Name / registered name	Advisor	Entity type
<input type="checkbox"/> 4a4f2dae-1c41-41ff-b06f-05e9bfc715a8	8308075800085	John De Castro	South African Citizen					

At the bottom of the table, there are two buttons: 'CREATE NEW CLIENT' and 'CANCEL'.

How it works

Tick the box next to the client/entity in the DocFox table and click on the CREATE A NEW CLIENT button below the table.



The screenshot shows the Elite Wealth DocFox interface. At the top, there is a navigation bar with the Elite Wealth logo and menu items: CLIENT, PRACTICE, and SETUP. Below this is a secondary navigation bar with links: HOME, ACTIVITY DASHBOARD, WORK PORTAL, CLIENT INFO (highlighted), PORTFOLIO, ASSETS & LIABILITIES, BUDGET, INVESTMENT PLANNING, FINANCIAL CALCULATORS, BNA, and IMPLEMENTATION. The main heading is "Find an entity on DocFox". Below this is a table with two sections: "DocFox" and "Elite Wealth". The "DocFox" section has a table with the following columns: Client number, ID number, passport or registration number, Name / registered name, and Entity type. A single row is visible with a checked checkbox in the first column, and the following data: Client number: 4a4f2dae-1c41-41ff-b06f-05e9bfc715a8, ID number: 8308075800085, Name: John De Castro, Entity type: South African Citizen. Below the table are two buttons: "CREATE NEW CLIENT" (highlighted with a red box) and "CANCEL".

DocFox					Elite Wealth				
Client number	ID number, passport or registration number	Name / registered name	Entity type	Client number	ID number, passport or registration number	Name / registered name	Advisor	Entity type	
<input checked="" type="checkbox"/>	4a4f2dae-1c41-41ff-b06f-05e9bfc715a8	8308075800085	John De Castro	South African Citizen					

[CREATE NEW CLIENT](#) [CANCEL](#)

How it works

This will open a client-capturing Wizard that pre-populates information retrieved from DocFox. You can capture any additional details for your client. Take note that the compulsory fields will be indicated in red and need to be completed to save the client/entity to the Elite Wealth system.

[CREATE NEW CLIENT](#) [CANCEL](#)

OFFICE USE

John De Castro

Status	Client
Company	My Company B
Office	My Office B
Class	N/A

Tags [ADD](#)

PERSONAL DETAILS

John De Castro

Title	Mr
Gender	Male
Surname	De Castro
First Names	John
Initials	J
Nick Name	
Maiden Name	
Nationality	South African
Country of birth	South Africa
Place of birth	
Country of residence	South Africa
South African ID Number	8308075800085
Date of Birth	07/08/1983
Passport Number	
Home Language	English
Correspondence Language	English
Marital Status	Unknown
Marital Date	dd/mm/yyyy
Informal Salutation	
Formal Salutation	Mr J De Castro

How it works

You can add additional details by clicking on NEW and selecting the relevant option from the dropdown list. To remove details, simply click on the blue x located at the top left of the relevant section.

CONTACT DETAILS

John De Castro

Addresses

Residential

Addressee: John De Castro

AddressLine 1: Long St

AddressLine 2:

Suburb: Cape Town City Centre

City: Cape Town

Postal code: 8000

Country: South Africa

Use as postal address

NEW

Emails

Office

Email: john@mail.com

Preferred email?

NEW

Telephones & Skype

Cell phone

Country: South Africa

Number / Skype name: 2782222222

Notes:

NEW

How it works

The last section on the wizard indicates the compulsory fields in red. You need to add the details for at least one client review, you must indicate the staff relation to the client (take note that one of the roles need to be an advisor role) and you need to specify the lead provider type from the dropdown list.

CLIENT REVIEWS

Please capture at least one review and populate all the fields.

+ Description	Review start date	Frequency
<input type="text" value="Type here ..."/>	<input type="text" value="dd/mm"/>	<input type="text" value="v"/>

STAFF RELATIONS

John De Castro

Please load one 'advisor role' for the client.
Please select the role that you will have towards the new client.

NEW Role **Your own role towards the client:**

Staff member

LEAD PROVIDER

John De Castro

Lead provider type

Staff role

Referred by

Referral date

Notes

How it works

Once you have completed the details for the client/entity, click on the **SAVE** button at the bottom of the screen to create the client/entity.

CLIENT REVIEWS

+ Description	Review start date	Frequency
<input type="text" value="Client review"/>	<input type="text" value="01/06"/>	<input type="text" value="Bi-annually"/>
<input type="text" value="Type here ..."/>	<input type="text" value="dd/mm"/>	<input type="text"/>

STAFF RELATIONS

John De Castro

Your own role towards the client:

Role

Staff member

Role

Staff member

NEW Role

Staff member

LEAD PROVIDER

John De Castro

Lead provider type

Staff role

Referred by

Referral date

Notes

How it works

You will be directed to the CLIENT INFO summary screen. From here you can navigate to the rest of the Elite Wealth system and work on your client.

The screenshot displays the 'CLIENT INFO' summary screen for John De Castro (DEMOB/1/1980) / Client / My Company B. The interface includes a navigation menu at the top with options like HOME, ACTIVITY DASHBOARD, WORK PORTAL, CLIENT INFO, PORTFOLIO, ASSETS & LIABILITIES, BUDGET, INVESTMENT PLANNING, FINANCIAL CALCULATORS, BNA, and IMPLEMENTATION. The main content area is divided into several sections:

- PERSONAL DETAILS:** Entity ID (34a376a7-e641-4e84-8668-138af3c9bd25), Client code (DEMOB/1/1980), Company (My Company B), External ID 1, Surname / registered name (De Castro), First name (John), Date of birth (07/08/1983), Home language (English), Marital status (Unknown), Maiden name, Nationality (South African), Passport / identification number, Age (39), Driving licence issue date, Retirement age (65), FinaMetrica score, Deceased? (checkbox), Date deceased, Client level mandate, Entity type (Natural person), Status (Client), Office (My Office B), External ID 2, Initials (J), Nick name, Title (Mr), Correspondence language (English), Occupation, Ethnic grouping (Unknown), ID / Registration number (8308075800085), Driving licence number, Driving licence expiry date, External reference, Risk tolerance, Risk profile, Risk rating, Risk rating date, Risk rating renewal date, Class (N/A).
- COMPLIANCE STATUS:** Includes a 'Show history' checkbox and a table with columns: Status, Effective date, Confirmed by, Confirmed on, Months.
- BANK AND TAX DETAILS:** Includes a table for Bank name, Account type, Account number, Branch, Branch code, Card type, and another table for Tax number, Provisional tax payer, Tax rate, Foreign tax number, Foreign tax registration country (0%).
- LAST INTERACTION AND NOTES:** No interactions have yet been loaded for this entity.
- CONTACT DETAILS:** Includes a table for Telephone number type, Full telephone number, Extension, Notes, Last modified on, Last modified by, and another table for EMail type, EMail address, Last modified on, Last modified by, E-mail here?.
- STAFF RELATIONSHIPS:** Includes a table with columns: Name of staff member, Staff role, listing 1 Financial Advisor 1 (Financial adviser) and Support Support (Admin).
- ENTITY RELATIONSHIPS:** No related entities loaded.

Contact Details for DocFox

 010 140 3580

Sales

Want to see what DocFox can do for you?

[Request a live demo](#) or get in touch via sales@docfox.co.za

Support

Need some assistance from support?

Chat live within the app or contact support@docfox.co.za

www.docfox.co.za





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