

**UNIT TRUST APPLICATION FORM**  
**INSTITUTIONAL INVESTORS/LEGAL ENTITIES**

Boutique Collective Investments (RF) (Pty) Ltd administers the BCI unit trusts. It is authorised to do so as a Manager, in terms of the Collective Investment Schemes Control Act. In this document it will be referred to as "BCI"

**IMPORTANT INFORMATION**

1. Please complete this form if you are a legal entity investor who wishes to invest in BCI unit trusts only.
2. Please refer to the Fees and Fund Information attached to this application for the characteristics of the unit trusts.
3. Please complete all relevant sections of this application in order to process this investment.
4. Unless we receive information from you indicating otherwise, we will treat all account holders as individual South African residents for Dividend Withholding Tax, and the account will attract the default tax rate.
5. Please read the Terms and Conditions that apply to this investment. This is available from your financial adviser, the Client Service Centre or at [www.bcis.co.za](http://www.bcis.co.za)
6. Please fax required documents in the checklist below to the Client Service Centre at (011) 263 6152, or email [instructions@bci-transact.co.za](mailto:instructions@bci-transact.co.za)
7. BCI will process this application when all required documents are received and the funds reflect in the relevant BCI bank account.
8. An investment statement will be forwarded to the email address provided in Section 1 within 2 business days once the investment has been finalised.

**DOCUMENT CHECKLIST**

- + Completed application form for Institutional Investors
- + FICA Documents as per Annexure C
- + Proof of your bank details (e.g. cancelled cheque or bank statement)
- + Proof of bank deposit / transfer into BCI's bank account
- + Proof of Income Tax Reference Number
- + If a representative is acting on behalf of the investor or is the contact person for the investor, we need the following from the representative:
  - Completed Annexure A
  - Proof of authority (e.g. power of attorney)
  - A certified Copy of South African bar-coded ID or valid passport (if foreign national)

**SECTION 1: INVESTOR DETAILS**

**Type of Entity**

<input type="checkbox"/> Listed Company	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Trust	<input type="checkbox"/> Partnership
<input type="checkbox"/> Retirement Fund	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Close Corporation	<input type="checkbox"/> Foreign Entity
Other (specify)	<input style="width: 100%;" type="text"/>		
Registered Name	<input style="width: 100%;" type="text"/>		
Registration Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>	Date of Inception	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Trading Name	<input style="width: 100%;" type="text"/>		
Tax Jurisdiction	1. <input style="width: 100%;" type="text"/>	3. <input style="width: 100%;" type="text"/>	
	2. <input style="width: 100%;" type="text"/>	4. <input style="width: 100%;" type="text"/>	
Tax Reference Number	1. <input style="width: 100%;" type="text"/>	3. <input style="width: 100%;" type="text"/>	
	2. <input style="width: 100%;" type="text"/>	4. <input style="width: 100%;" type="text"/>	
Tax Residency	1. <input style="width: 100%;" type="text"/>	3. <input style="width: 100%;" type="text"/>	
	2. <input style="width: 100%;" type="text"/>	4. <input style="width: 100%;" type="text"/>	
Country	<input style="width: 100%;" type="text"/>		
Registered Address (Head Office)	<input style="width: 100%;" type="text"/>		
	<input style="width: 100%;" type="text"/>		Postal Code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Business Operating Address	If the same as above please check this box <input type="checkbox"/>		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 100%;" type="text"/>		Postal Code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Postal Address  If the same as registered address please check this box  If same as business address please check this box

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Postal Code \_\_\_\_\_

**Contact Details for Institutional Investor / Legal Entity**

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Name(s) \_\_\_\_\_

Telephone (H) \_\_\_\_\_ (W) \_\_\_\_\_

Fax \_\_\_\_\_ Mobile \_\_\_\_\_

Email \_\_\_\_\_

\_\_\_\_\_

**Politically Exposed Person**

A Politically Exposed Person or PEP is a term describing someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.

I consider myself to be, or to be associated with a Politically Exposed Person  Yes  No

If yes, please provide details:

\_\_\_\_\_

**Dividend Withholding Tax**

SARS requires us to pay over dividend tax on your behalf where applicable. We will deduct this tax before we pay any dividends to you or re-invest these into your investment account. The rate for South African tax payers is 15% and unless we received information from you indicating other accounts held by South African trusts and partnerships will attract the default Dividend Withholding Tax rate.

**Legal Entity**

Please complete the following sections below in order for us to load the correct tax rate:

1. The investor is a South African registered legal entity and is exempt *Please complete the below section.*
2. The investor is not registered in South Africa for tax purposes   
 Non-South African investors may qualify for a reduced tax rate. Please indicate which country you are registered in for tax purposes.  
 \_\_\_\_\_
3. None of the Above *Default tax rate will apply*

**Reason for Exemption**

- + A company which is resident in South Africa
- + The Government, provincial government or municipality (of the Republic of South Africa)
- + A public benefit organisation (approved by SARS ito section 30(3) of the Act)
- + A trust contemplated in section 37A of the Act (mining rehabilitation trusts)
- + An institution, body, or board contemplated in section 10(1)(cA) of the Act
- + A fund contemplated in section 10(1)(d)(i) or (ii) of the Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund)
- + A person contemplated in section 10(1)(t) of the Act (Council for Scientific and Industrial Research, South African Inventions Development Corporation or the South African National Roads Agency Limited)
- + A shareholder in a registered micro business, as defined in the Sixth Schedule, paying that dividend, to the extent that the aggregate amount of dividends paid by that registered micro business to its shareholders during the year of assessment in which that dividend is paid does not exceed the amount of R200 000
- + A person who is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of "dividend" in section 64D (i.e. a dividend on a foreign company's shares listed in SA, such as dual-listed shares)
- + Other reason *(Please provide details below)* :

\_\_\_\_\_

**Declaration and Undertaking**

Declaration in terms of sections 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) of the Act:

I \_\_\_\_\_ (full names in print), the undersigned hereby declare that dividends paid to the investor is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Undertaking in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I \_\_\_\_\_ (full names in print), the undersigned undertake to forthwith inform BCI in writing should the circumstances of the investor referred to in the declaration above change.

## COMMUNICATION CHOICE

We will send you / person acting on your behalf or your financial advisor the following types of correspondence:

- + Investment statements, tax certificates
- + Transaction confirmations when you transact on your account

Please select how you would like to receive the above correspondence:

<input type="checkbox"/> Email	<input type="checkbox"/> Post
<input type="checkbox"/> Email	<input type="checkbox"/> SMS

- + Instruction Notifications

**Online Access** (Will enable you to view your statements/correspondence and upload instructions)

Would you like to have online access to your portfolio:

<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No

Do you require read only access to your investment?

<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No

## SECTION 2: INVESTMENT DETAILS

Portfolio Name	Class	Lump Sum Investments	Debit Order Investments
Cratos BCI Equity Fund	A	R <input type="text"/> or <input type="text"/> %	R <input type="text"/> or <input type="text"/> %
<b>TOTAL INVESTMENT AMOUNT</b>		R <input type="text"/>	R <input type="text"/>

- + Please refer to the Fee Annexure for fund information; or visit our website for monthly fund fact sheets.

<http://www.bcis.co.za/boutique-collective-investments/funds>

## SECTION 3: PAYMENT DETAILS

<b>Source of contribution</b>	<input type="checkbox"/> Capital	<input type="checkbox"/> Savings	<input type="checkbox"/> Company Profit	<input type="checkbox"/> Donation	<input type="checkbox"/> Transfer from other FSP
	<input type="checkbox"/> Other/Specify <input type="text"/>				
<b>Method of payment</b>	<input type="checkbox"/> Cheque deposit	<input type="checkbox"/> Electronic / Internet transfer			
	<input type="checkbox"/> Debit order	<input type="checkbox"/> Once-off Debit order on <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y			

Electronic collection is restricted to a maximum of R500 000 per investment. BCI will debit your account within five business days of receiving the application form and all relevant documents. If your investment amount exceeds R500 000, please electronically transfer the amounts directly to our BCI operations account stated in section 5.

## SECTION 4: BANK DEBIT AUTHORITY

Debit orders will be collected on the 1st business day of each month.

I hereby instruct and authorise BCI to draw direct debits against the bank account below. Debit orders can only be drawn from a South African bank account. The following accounts cannot be debited: an offshore, blocked rand, credit card, bond, or market-linked bank account.

Account holder	<input type="text"/>											
Name of Bank	<input type="text"/>											
Branch Name	<input type="text"/>							Branch code	<input type="text"/>			
Account number	<input type="text"/>											
Account Type	<input type="checkbox"/> Current	<input type="checkbox"/> Savings	<input type="checkbox"/> Transmission									

### Debit Order Details

Total to be collected R  commencing on the 1st  or 15th  of  M  M /  Y  Y  Y  Y

Debit orders are applied on the 1st or the 15th of each month. If the selected day falls on a weekend or public holiday it will be effected on the next business day. The cut-off for all debit order notices to be processed in a particular month is by 14:00, **five business days** before the selected day.

Optional escalation rate per annum  5.00%  10.00%  15.00%  Other  %

If no escalation rate is completed a 0% escalation will be applied.

Signature of bank accountholder

Date  D  D /  M  M /  Y  Y  Y  Y

## SECTION 5: BCI'S BANKING DETAILS

Please use the bank details below for cheque deposits and electronic / internet transfers. In order for BCI to identify your transaction, please note the reference to be used for your deposit.

**Bank:** Standard Bank **Branch:** Menlyn **Account name:** Boutique Collective Investments (RF) (Pty) Ltd Operations Account  
**Branch code:** 012345 **Account type:** Current **Account number:** 41-143-612-0  
**Reference:** Initials and Surname

Please send proof of deposit with application form to: Fax (011) 263 6152, or email [instructions@bci-transact.co.za](mailto:instructions@bci-transact.co.za)

## SECTION 6: INCOME INSTRUCTION

### Distribution Payments

Distributions to be re-invested OR  Distributions paid into account as per the 'Investor bank account details'

### Regular Withdrawal Payments

The cut-off for instructions is 14:00, Money Market cut-off is 11:30. If received after the cut-off the next business day pricing will apply.

**Payment Frequency**  Monthly  Quarterly  Biannually  Annually  
**Date**  1st  15th  25th Start date

### FROM FUND

Portfolio name	Amount per regular withdrawal	
<input type="text"/>	R <input type="text"/>	or <input type="text"/> %
<input type="text"/>	R <input type="text"/>	or <input type="text"/> %
<input type="text"/>	R <input type="text"/>	or <input type="text"/> %
<input type="text"/>	R <input type="text"/>	or <input type="text"/> %
<b>TOTAL TO BE WITHDRAWN PER PERIOD</b>	R <input type="text"/>	or <b>100</b> %

## SECTION 7: INVESTOR BANK ACCOUNT DETAILS *(Account to be used for repurchase payments)*

You must keep BCI informed of any changes in your banking details.

Account holder

Name of Bank

Branch Name  Branch code

Account number

Account type  Current  Savings  Transmission

All payments are made electronically to the current, transmission or savings bank account of the registered investor only. No payments will be made to credit card or market-linked accounts. No Third Party bank accounts are permitted.

## SECTION 8: FINANCIAL ADVISOR DETAILS

Full Name and surname

Practice name (FSP)

FSP licence number

Financial Advisor Code

Adviser assistant dealing with this transaction

I confirm that this financial adviser, as authorised representative of the FSP above, is my appointed financial adviser.

### Negotiable financial adviser fees

Initial  .   Maximum 3.0% (excluding VAT) deducted prior to the investment being made. If it is agreed that no initial fee is payable, please insert 0%.

**Ongoing advisory fee:** negotiable to a maximum of 1% (VAT excl), or in the case of money market funds maximum 0.5% (ex VAT) p.a. Advisory fees are withdrawn by way of a unit reduction. This annual advice fee, if any, is in addition to the standard portfolio service charges.

Initial advice fee ex VAT opted above	Insert agreed ongoing advice fee %	Maximum ongoing advice fee ex VAT p.a.
3%		0.50%
between 2% and 3%		0.60%
between 1% and 2%		0.80%
0% - 1%		1.00%

### Discretionary mandate declaration

This section is only applicable if the FSP above holds a 'Category II' license with the FSB and is therefore an approved discretionary FSP.

I confirm that I have entered into a mandate with the above approved discretionary FSP.  Yes  No

I agree and understand that, in terms of the mandate, the FSP may give BCI investment instructions directly, and I authorise BCI to accept all instructions, including electronic transactions, submitted by the FSP on my behalf.  Yes  No

### Financial adviser FAIS declaration

1. I/We have made the disclosures required in terms of the Collective Investment Schemes Control Act and Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS) and subordinate legislation thereto, to the investor.
2. I have explained all fees that relate to this investment to the investor. I understand and accept that the investor may write to BCI to cancel my fees.

### FICA Declaration

1. I/We confirm that I can verify the identity of the client mentioned below according to the requirements as set out in the Financial Intelligence Centre Act, 38 of 2001, and any legislation, regulations or guidelines related thereto.

2. We confirm that we have internal rules and procedures in compliance with the requirements of FICA regarding the establishing and verification of client's identity and establish and verify the identity of all new clients. We further confirm that we will keep record of the verification documents as required in terms of the said Act and will make available copies of these documents and details of the verification procedures followed on request to any party entitled thereto in terms of the Act.
3. I understand that I am the primary accountable institution under The Act.

Signature of financial advisor

Date 

D	D
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 / 

M	M
---	---

 / 

Y	Y	Y	Y
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## SECTION 9: INVESTOR DECLARATION

- + I confirm that all information provided in this form and all other documents signed by me in connection with this application, whether in my handwriting or not, are correct.
- + I confirm that all funds invested with BCI are not the proceeds of unlawful activities and that I have not contravened any anti-money laundering and tax legislation. I have complied with and will continue to comply with all relevant legislation, including but not limited to FICA and the Income Tax Act.
- + I am responsible for the accuracy and completeness of all answers, statements or other information provided by me or on my behalf.
- + I have not received advice from BCI in respect of this application.
- + I confirm that BCI may accept instructions from my financial adviser or any authorised third party who has been appointed and authorised by me in writing.
- + I confirm that BCI may accept instructions in the prescribed format by facsimile or via other electronic means.
- + I confirm that my appointed financial adviser will have access to my investment details.
- + I have read and understood the Fees and Fund Information attached.
- + I have read, understood and agree to the Terms and Conditions.
- + I/We accept full responsibility for informing BCI of any changes in current identification information provided (e.g. change of address, surname change, contact particulars, banking details etc.).
- + I acknowledge that BCI will not be held liable for delays or losses incurred due to incomplete or inaccurate information on the application forms or insufficient or incorrect submission of FICA information. I also acknowledge that BCI will not be held liable for delays or losses incurred due to delays caused by the Financial Adviser.
- + I/we confirm that I/we have received the disclosure information (as made mention of in the attached fund fact sheets), as required by Section 3 of the Collective Investment Schemes Control Act 45 of 2002 and I/we have read and understand the terms and conditions as set out in this application form and attachments and agree to be bound by it. I/we are aware that I/we can request the Supplemental Trust Deed from BCI.
- + I/we hereby confirm that we have received a copy of and reviewed the portfolio fund fact sheet and marketing disclose document.

Date 

D	D	M	M	Y	Y	Y	Y
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Signature of investor(s) or legal guardian

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signature of investor(s) or legal guardian

## CONTACT DETAILS

+ **Physical Address**  
 Boutique Collective Investments  
 Unit AC13, Ground Floor Acorn House,  
 Old Oak Office Park  
 Cnr Old Oak Road & Durban Road  
 Bellville  
 7530

**Contact us**  
 Tel: +27 (0)21 007 1500/1/2 | +27 (0)21 914 1220 | Fax: +27 (0)86 502 5319  
 Email: [clientservices@bcis.co.za](mailto:clientservices@bcis.co.za) | Visit our website: [www.bcis.co.za](http://www.bcis.co.za)

*Should you have any complaints, please send an email to [complaints@efgroup.co.za](mailto:complaints@efgroup.co.za)*



**ANNEXURE C**  
**FEES AND FUND INFORMATION**

\* Including VAT | 0% Initial fees

**ARGON FUND RANGE**

Fund	Class	Regulation 28 Fund	ASISA Fund Category	Distribution Frequency	Performance Fee	Max Commission*	Service Fee*
Cratos BCI Equity Fund	A	No	SA Equity General	Semi-Annually	15% above benchmark cap over rolling 1-year, capped at 2% p.a.	0.00%	1.43%

**Conflict of Interest**

1. The Investment manager earns a portion of the service charge and performance fees where applicable.
2. In some instances portfolios invest in other portfolios which forms part of the BCI Schemes, refer to fact sheets for more details.

Collective Investment Schemes in Securities (CIS) are generally medium to long term investments. The value of participatory interests may go down as well as up and past performance is not necessarily a guide to the future. Fluctuations or movements in exchange rates may cause the value of underlying international investments to go up or down. CIS are traded at ruling prices and can engage in borrowing and scrip lending. A schedule of fees and charges and maximum commissions is available on request from the company/scheme. Commission and incentives may be paid and if so, would be included in the overall costs. Forward pricing is used. For Money Market Funds a constant price will be maintained. While a constant price is maintained the investment capital is not guaranteed. A fund of funds is a portfolio that invests in portfolios of collective investment schemes, which levy their own charges, which could result in a higher fee structure for these portfolios. Different classes of units apply to these portfolios and are subject to different fees and charges. Boutique Collective Investments (RF) (Pty) Ltd is a member of the Association for Savings & Investment SA (ASISA).

**ANNEXURE A**  
**REPRESENTATIVES ACTING ON BEHALF OF THE INSTITUTIONAL INVESTOR / LEGAL ENTITY**

Boutique Collective Investments (RF) (Pty) Ltd administers the BCI unit trusts. It is authorised to do so as a Manager, in terms of the Collective Investment Schemes Control Act. In this document it will be referred to as "BCI"

**REPRESENTATIVES ACTING ON BEHALF OF THE INSTITUTIONAL INVESTOR / LEGAL ENTITY**

**Important Information**

The Financial Intelligence Centre Act no 38 of 2001 (FICA) obliges BCI to verify the identity of its clients. Each of the following persons must complete this annexure A:

- + Manager
- + Member
- + Partner
- + Person holding 25% or more of the voting rights
- + Persons exercising executive control
- + Trustee, beneficiary and founder of Trust
- + Authorised Representative

**Type of Entity**

Natural Person       Legal Entity

**Natural Person**

Capacity			
Title	<input type="text"/>	<input type="text"/>	Surname <input style="width: 85%;" type="text"/>
First Name(s)	<input style="width: 100%;" type="text"/>		
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Nationality(ies)	<input type="text"/>	<input type="text"/>	Country of Birth <input style="width: 85%;" type="text"/>
ID Number (passport number if foreign national)	<input style="width: 100%;" type="text"/>		
Income Tax Reference Number	<input style="width: 100%;" type="text"/>		
Telephone (H)	<input type="text"/>	<input type="text"/>	(W) <input style="width: 90%;" type="text"/>
Fax	<input type="text"/>	<input type="text"/>	Mobile <input style="width: 90%;" type="text"/>
Email	<input style="width: 100%;" type="text"/>		
Financial Adviser Email	<input style="width: 100%;" type="text"/>		
Physical Address	<input style="width: 100%;" type="text"/>		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 95%;" type="text"/>		Postal Code <input style="width: 5%;" type="text"/>
Postal Address	<input type="checkbox"/> If the same as above, please check this box		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 95%;" type="text"/>		Postal Code <input style="width: 5%;" type="text"/>

**Legal Entity**

Capacity			
Registered Name	<input style="width: 100%;" type="text"/>		
Registration Number	<input style="width: 100%;" type="text"/>		
Trading Name	<input style="width: 100%;" type="text"/>		
TIN Jurisdiction	1.	<input type="text"/>	3.
	2.	<input type="text"/>	4.
Tax Reference Number	1.	<input type="text"/>	3.
	2.	<input type="text"/>	4.
Tax Residency	1.	<input type="text"/>	3.
	2.	<input type="text"/>	4.





## ANNEXURE B TERMS AND CONDITIONS

Boutique Collective Investments (RF) (Pty) Ltd administers the BCI unit trusts. It is authorised to do so as a Manager, in terms of the Collective Investment Schemes Control Act. In this document it will be referred to as "BCI"

1. This application and the Deed will form the agreement between the investor and BCI. The agreement will be administered in terms of the Collective Investment Schemes Control Act, No 45 of 2002 ("The Act").
2. The investor applies to invest in the collective investments managed by BCI in accordance with the provisions of BCI at the ruling purchase price at the close of business on the date of receipt of the funds by BCI, or being placed in receipt of this application, whichever is the later, provided it is received by the daily cut off time of 14h00 (South African time). If received after 14h00 (South African time) then the following business day's ruling prices shall be used to calculate the purchase value of the investment. Withdrawal transfers may be delayed if assets have to be liquidated.
3. The risk profile of the investment has been explained to the investor in terms of the underlying assets (equities, bonds and cash). Collective Investments should be considered a medium to long term investment. Collective Investments are sold at ruling prices. Forward pricing is used to determine the net asset value. Commission and incentives may be paid and are included in the overall costs. The value of the participatory interests may go down as well as up and past performance is not necessarily a guide to the future performance. BCI is a member of the Association for Savings & Investments SA (ASISA). BCI does not provide any guarantee in respect to the capital or return of any portfolio.
4. A fully completed application form, together with proof of deposit and additional supporting documents as required by BCI must be received before 14h00 to be transacted at the NAV price for that day. Money Market Funds must be received before 11h30. BCI will not proceed with any transaction if there is any doubt as to the validity of any signatures or if BCI deem the instruction to be incomplete in any way. An instruction will be deemed to be complete on receipt of cleared identifiable funds in the bank account and all required documentation.
5. Participatory interests (units) are priced using the forward pricing method, and prices are calculated on a net asset value (NAV) basis. The NAV price is the price at which you can buy or sell units. NAV can be defined as the total market value of all assets in the fund, including any income accruals, less any permissible deductions in terms of the Act, divided by the number of units in issue.
6. The funds are priced daily at 15h00. Fund of Funds are priced at 08h00.
7. The manager may borrow up to 10% of the value of the fund where insufficient liquidity exists in a fund, or where assets cannot be realised to repurchase or cancel participatory interests.
8. The annual management fee is levied monthly on the daily value of the fund.
9. BCI will not be liable for any loss incurred due to incorrect information being supplied by the investor or the financial advisor.
10. Without prejudice to any other rights which BCI may have in terms hereof or at law, the investor agrees that BCI shall be entitled to recover from the investor any amount of money paid to the investor which the investor is not entitled to for whatsoever reason, including interest thereon.
11. Should BCI be prevented from fulfilling any of its obligations in terms of this application as a result of an event not within the reasonable control of BCI, those obligations shall be deemed to have been suspended to the extent that and for as long as BCI is prevented from fulfilling those obligations.
12. In the event of participatory interests being redeemed, payment will only be made into the investor's bank account as set out in the banking details' section.
13. All fees and expenses applicable to the investment as explained to the investor shall be deducted from the investments.
14. The investor's chosen service address ("domicilium") for the receipt of all notices and processes given in terms hereof, is the physical address detailed on this application form or as detailed in writing.
15. Collective Investments prices are calculated on a Net Asset Value basis and auditor's fees, bank charges and trustee levies are levied against the portfolio.
16. All payments will be electronically transferred into the bank account of the investor only. In the case of third party withdrawal requests, the investor indemnifies BCI against any loss, damage, cost or claim arising or connected with such payment.
17. Only signed instructions will be acted upon.
18. Should you not receive your statements, please email us on [clientservices@bcis.co.za](mailto:clientservices@bcis.co.za) or call us on (0)21 007 1500/1/2.
19. Should you wish to lodge a complaint regarding the services being provided, please refer to our complaints procedure on [www.bcis.co.za](http://www.bcis.co.za) or alternatively send an email to us at [complaints@bcis.co.za](mailto:complaints@bcis.co.za).
20. Redemptions: BCI retains the right to redeem to the client's bank account any balances less than R100.00

## ANNEXURE C

### FINANCIAL INTELLIGENCE CENTRE ACT NO 38 OF 2001 (FICA)

Boutique Collective Investments (RF) (Pty) Ltd administers the BCI unit trusts. It is authorised to do so as a Manager, in terms of the Collective Investment Schemes Control Act. In this document it will be referred to as "BCI"

### FINANCIAL INTELLIGENCE CENTRE ACT NO 38 OF 2001 (FICA)

The Financial Intelligence Centre Act no 38 of 2001 (FICA), which came into effect on 30 June 2003, obliges BCI to request certain mandatory information before entering into a financial transaction with the client.

Details of the information and documentation required from clients are set out below. All FICA documentation must be either original or certified as the original.

### FICA DOCUMENTATION REQUIRED

- + Brokers must attach the documentation set out in this annexure to their completed application form. The following persons are exempted from providing this documentation:
  - If listed on a recognized securities exchange (e.g. JSE)
- + The accountable institution, however, reserves the right to request the supporting documentation for the above-mentioned exempted persons where it deems necessary. The accountable institution will only place investments once all the supporting documentation listed below has been supplied.

## 1. NATURAL PERSONS

### 1.1 SA Citizen/Resident

- 1.1.1 Certified copy of your green, bar-coded identity document (South African citizens)  
*\* South African citizens: a passport /driver's licence containing the above information will only be accepted with a written reason for the unavailability of the ID document.*
- 1.1.2 Document (not older than 3 months) showing your residential address

### 1.2 Foreign Nationals

- 1.2.1 Certified copy of valid passport (foreign national)

### 1.3 Legal Incapacity

- 1.3.1 Document(s) set out above iro both parties (1.1.1 or 1.2.1).
- 1.3.2 Proof of authority to act (e.g. power of attorney, mandate, resolution, court order).

## 2. LEGAL PERSONS

(Please complete Annexure A)

### 2.1 SA Companies (Unlisted)

- 2.1.1 Certificate of Incorporation (CM1) stamped by the Registrar of Companies or CoR14.3 OR
- 2.1.2 Certificate of Name Change (CM9) stamped by the Registrar of Companies AND
- 2.1.3 Notice of Registered Office and Postal address (CM22 or CoR14.1)
- 2.1.4 Current list of Directors (CM29 or CoR39)
- 2.1.5 Proof of Business Physical Address of the Company not older than 3 months (e.g. utility bill/rates and taxes, copy of Telkom account, lease or rental agreement, copy of letterhead, copy of bank statement)
- 2.1.6 Proof of Authority to act on behalf of the company (e.g. Board resolution)
- 2.1.7 Copy of green bar-coded identity document (South African citizens) or passport Foreign Nationals, of all authorised persons and South African/Foreign Managers (Principle Executive Officers)
- 2.1.8 Completed Annexure A for each Manager (Principle Executive Officers) AND each authorised person
- 2.1.9 Completed Annexure A for institutions holding 25% or more of the voting rights **AND** requirements as per Unlisted company, close corporation, foreign company, unincorporated entity, trusts

### 2.2 SA Close Corporations

- 2.2.1 Founding Statement and Certificate of Incorporation (CK1)
- 2.2.2 Amended Founding Statement (CK2)
- 2.2.3 Proof of Authority to act on behalf of Closed Corporation (e.g. resolution)
- 2.2.4 Completed Annexure A for each member AND each authorised person
- 2.2.5 Proof of Business Physical Address of the CC not older than 3 months (e.g. utility bill/rates and taxes, copy of Telkom account, lease or rental agreement, copy of letterhead, copy of bank statement)

### 2.3 Foreign Companies (Unlisted)

- 2.3.1 Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
- 2.3.2 Certificate of Incorporation or foreign equivalent reflecting registration address of the company
- 2.3.3 Proof of Business Physical Address of the Company not older than 3 months (e.g. utility bill/rates and taxes, lease or rental agreement, copy of letterhead, copy of bank statement)
- 2.3.4 Proof of Authority to act on behalf of the company (e.g. Board resolution)
- 2.3.5 Copy of passport of all authorised persons
- 2.3.6 Completed Annexure A for each authorised person

### 2.4 Other Legal Persons (i.e. club, association, body corporate)

- 2.4.1 Copy of Founding document
- 2.4.2 Proof of Business Physical Address of Entity not older than 3 months (e.g. utility bill/rates and taxes, copy of Telkom account, lease or rental agreement, copy of letterhead, copy of bank statement)
- 2.4.3 Proof of Authority to act on behalf of Entity (e.g. resolution)
- 2.4.4 Copy of green bar-coded Identity Document (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 2.4.5 Completed Annexure A for each authorised person

### 2.5 Partnership

- 2.5.1 Copy of Partnership agreement
- 2.5.2 Proof of Business Physical Address of Partnership not older than 3 months (e.g. utility bill/rates and taxes, copy of Telkom account, lease or rental agreement, copy of letterhead, copy of bank statement)
- 2.5.3 Proof of Authority to act on behalf of Partnership (e.g. resolution)
- 2.5.4 Copy of green bar-coded Identity Document (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 2.5.5 Completed Annexure A for each partner AND each authorised person

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## 3. TRUSTS

**(Please complete Annexure A)**

- 3.1 Copy of Letters of Authority reflecting name and registration number of the Trust stamped by the Master of the High Court
- 3.2 Copy of the Trust Deed
- 3.3 Copy of green bar-coded Identity Document (South African citizens) or Passport (Foreign Nationals) for all founders, all beneficiaries, all Trustees and all persons acting on behalf of the Trust
- 3.4 Completed Annexure A for each founder, Trustee and beneficiary

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## 4. RETIREMENT FUNDS

**(Please complete Annexure A)**

- 4.1 Copy of FSB document reflecting the funds registration number and fund name
- 4.2 Proof of Authority to act on behalf of Retirement fund (e.g. resolution)
- 4.3 Copy of green bar-coded Identity Document (South African citizens) or Passport (Foreign Nationals), of all authorised persons

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## 5. MEDICAL SCHEMES

**(Please complete Annexure A)**

- 5.1 Registrar of Medical Schemes approval of registration certificate
- 5.2 Proof of Business Physical Address of Medical Scheme not older than 3 months (e.g. utility bill/rates and taxes, copy of Telkom account,
- 5.3 Proof of Authority to act on behalf of Medical Scheme (e.g. resolution)
- 5.4 Copy of green bar-coded Identity Document (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 5.5 Completed Annexure A for each authorised person