



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 all relevant sections of this application in order for BCI to set up a broker account on their systems. Once the completed forms and relevant documentation has been received the account will be set up to receive broker commissions.
2. Please fax required documents in the checklist below to the Client Service Centre at (011) 263 6152, or email instructions@bci-transact.co.za.
3. Please see Annexure B for the FICA documentation that must accompany this application form for the Company and section 2 for the documentation to be supplied for each representative and key individual.
4. BCI will only process this application when all required documents are received.

DOCUMENT CHECKLIST

- + Completed application form for brokers
- + FICA Documents as per Annexure B
- + Proof of your bank details (e.g. cancelled cheque or bank statement)
- + Proof of Income Tax Reference Number
- + Information to be specified in respect of each representative and key information of the financial advisor on behalf of the entity:
 - Complete section 2 below and/or Annexure A
 - A certified Copy of South African bar-coded ID or valid passport (if foreign national)
 - Proof of residential address (e.g. bank statement, utility bill or telephone account less than three months old)
 - Copy of FSP Licence and Annexure detailing the conditions and restrictions

SECTION 1: CORPORATE INFORMATION

Registered Name	<input style="width: 100%;" type="text"/>		
Registration Number	<input style="width: 10%; height: 20px;" type="text"/>	<input style="width: 10%; height: 20px;" type="text"/>	Date of Inception <input style="width: 10%; height: 20px;" type="text"/> / <input style="width: 10%; height: 20px;" type="text"/> / <input style="width: 10%; height: 20px;" type="text"/>
Trading Name	<input style="width: 100%;" type="text"/>		
Practise Name (FSP)	<input style="width: 80%;" type="text"/>		FSP Licence Number <input style="width: 20%;" type="text"/>
Income Tax Ref Number	<input style="width: 60%;" type="text"/>		VAT Number <input style="width: 40%;" type="text"/>
Registered Address (Head Office)	<input style="width: 100%;" type="text"/>		
	<input style="width: 80%;" type="text"/>		Postal Code <input style="width: 20%;" type="text"/>
Business Operating Address	<input type="checkbox"/> If the same as above please check this box		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 80%;" type="text"/>		Postal Code <input style="width: 20%;" type="text"/>
Postal Address	<input type="checkbox"/> If the same as above please check this box <input type="checkbox"/> If same as business address please check this box		
	<input style="width: 100%;" type="text"/>		
	<input style="width: 80%;" type="text"/>		Postal Code <input style="width: 20%;" type="text"/>
Contact Person			
Title	<input style="width: 100%;" type="text"/>		
Surname	<input style="width: 100%;" type="text"/>		
First Name(s)	<input style="width: 100%;" type="text"/>		
Telephone (H)	<input style="width: 100%;" type="text"/>	(W)	<input style="width: 100%;" type="text"/>
Fax	<input style="width: 100%;" type="text"/>	Mobile	<input style="width: 100%;" type="text"/>
Email	<input style="width: 100%;" type="text"/>		

SECTION 2: LIST OF REPRESENTATIVES AND KEY INDIVIDUALS OF THE ADVISOR

If there are additional advisors please complete Annexure A

Title	<input type="text"/>
Surname	<input type="text"/>
First Name(s)	<input type="text"/>
ID Number/ Passport number (if foreign national*)	<input type="text"/>
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Passport Expiry Date*	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
FSP License No.	<input type="text"/> <i>Please attach a copy of licence and annexure detailing the conditions and restrictions</i>
Telephone (H)	<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"/> (W) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Fax	<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"/> Mobile <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Email	<input type="text"/>

Title	<input type="text"/>
Surname	<input type="text"/>
First Name(s)	<input type="text"/>
ID Number/ Passport number (if foreign national*)	<input type="text"/>
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Passport Expiry Date*	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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Fax	<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"/> Mobile <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Email	<input type="text"/>

SECTION 3: BANKING DETAILS FOR PAYMENT OF FEES EARNED

Please attach a cancelled cheque or relevant bank statement not older than 3 months. Please ensure that the bank account is a current, transmission or savings account in the name of the investor. No third party payments are permitted.

Account Holder	<input type="text"/>	
Name of Bank	<input type="text"/>	
Branch Name	<input type="text"/>	Branch code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Account 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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Account Type	<input type="checkbox"/> Current	<input type="checkbox"/> Savings <input type="checkbox"/> 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.

SECTION 4: DECLARATION

Boutique Collective Investments (RF) (Pty) Ltd will be referred to as "BCI" in the terms of conditions and declaration below.

Contractual Relationship

- + You hereby acknowledge that the contractual relationship between you and BCI is one of independent contractor. You are not being appointed, and may not hold yourself out to be or in any way act, as an agent, representative or employee of BCI. You acknowledge that no partnership, agency or contract of employment has or will come about through your contract with BCI or on account of the payment of fees to you. Fees are agreed between you and your client directly.
- + It is your responsibility to evaluate and ensure that all your employees and/or representatives involved in the provision of a financial service act in accordance with and subject to industry standards and applicable legislation, including but not limited to ensuring your employees and/or representatives keep up to date with developments and changes in the financial services industry and conducting regular credit checks via a credit burea on your employees and/or representatives.

Licensing requirements

- + By signing this contract you warrant and guarantee that you and your representatives have, and will maintain on an ongoing basis, all the necessary approvals, licences, registrations and/or authorisations as required by the FSB under the FAIS Act to conduct the business contemplated under this contract.
- + If any changes occur regarding your license conditions, approved products and categories or if any changes occur regarding your authorised representatives (e.g. their fit and proper status, debarment, etc) and authorised signatories, you agree to immediately inform BCI in writing of such changes.
- + If you are a representative of another FSP, in addition to holding an FSP license in your own right, you are obliged to disclose this fact to BCI. By signing this contract you acknowledge and agree that BCI may disclose this fact if requested to do so.

Submission of instructions

- ✦ BCI reserves the right to accept facsimile or electronic instructions. If you fax and/or electronically submit an instruction form to BCI (in the format prescribed and/or approved by BCI), it is your responsibility to ensure that the instruction form has been received and acted upon by BCI. A faxed transmission report/receipt will not be regarded as proof that BCI received the form. BCI shall not be held liable for forms that were not received whether faxed and/or electronically submitted.

Role and responsibilities

- ✦ You have no authority to accept money from clients on behalf of BCI, or issue receipts to clients in the name of BCI, and no money in whatever form that a client pays to you will be regarded as payment made to BCI.
- ✦ You are solely responsible and legally accountable for any information and/or advice provided to a client or potential client about the products. BCI shall not be responsible or held liable for any advice provided by you to a client and any advice-related complaint addressed to BCI will be directed to you.
- ✦ BCI may provide you with information on the products (excluding any unregistered products), and supplement this information when changes are made to the products.
- ✦ BCI reserves the right in its sole discretion to report to and liaise with any client should the need arise.

Confidentiality

- ✦ You may not, during or after this contract terminates, except in the proper course of your duties or if required by law, disclose any trade or business secrets or any information concerning the business or finances of BCI to any third party. This includes, but is not limited to, any dealings, transactions, client names or business practices of BCI or of any person with whom BCI has business dealings.
- ✦ By signing this contract you agree that in terms of BCI's agreement with third party fund providers, BCI can provide such third party fund providers with monthly and total assets under management per product per FSP without obtaining your prior consent. All information will be treated as confidential and no client information will be provided.

Intellectual property

- ✦ All promotional and marketing material/documents provided to you by BCI remains the property of BCI and is merely supplied to you to assist you in fulfilling your obligations and duties under this contract. All copyright, trademark and ownership rights of the material/documents remain vested in BCI.
- ✦ You may not use, publish or circulate any printed or written matter concerning BCI including, but not limited to, the use of BCI's name, trademarks, and/or logo for any reason, except where specifically authorised by BCI in writing. You should not assume, without first receiving written confirmation from BCI, that any promotional material older than 60 days is current and relevant. Further up to date information about BCI may be obtained by contacting BCI directly.
- ✦ BCI will not be responsible for any information about BCI that has not been obtained directly from BCI.

Fees

- ✦ You may receive an initial and/or an ongoing fee which must be negotiated with and approved by your client, within the parameters set by BCI. Fees must be agreed directly between you and the client and any fee-related complaint addressed to BCI will be directed to you. BCI will not be held responsible or liable for any losses caused as a result of fee arrangements, negotiations and/or payments between you and your client.
- ✦ BCI may alter the parameters for fees as applicable to the products from time to time. BCI will inform you in writing of any such change. Existing agreed fees will not be affected except where BCI may be required by a regulatory authority to amend such fee structure. In this case, the amended structure may apply to existing agreed fees.
- ✦ BCI will not be held responsible or liable for any delay in the payment of fees if your details are entered incorrectly on any investment application form.
- ✦ If there is a dispute between you and a client regarding fees, including but not limited to who is entitled to fees, or as to whether or not fees are due, BCI may, in its discretion, withhold payment (without incurring interest or penalty obligations) until the dispute has been resolved.

Termination

- ✦ Either party may cancel this contract on 30 days written notice to the other party
- ✦ Your contract will immediately and automatically be terminated by BCI if:

- You contravene these terms and conditions in any way;
- You are found guilty of any crime involving fraud or dishonesty;
- You are found guilty in any enquiry or proceedings, including any disciplinary hearing, of unprofessional conduct;
- You contravene any of the provisions of the FAIS Act; or
- You contravene these terms and conditions in any way;

You hereby agree to immediately inform us in writing if any of the instances referred to above occur.

Indemnity and declaration

- ✦ By signing this contract I indemnify and hold BCI harmless against any and/or all claims, demands, penalties, losses, damages, expenses and/or charges of whatsoever nature suffered by BCI and/or a third party, including clients, as a result of my negligence, fraud, willful misconduct and/or a breach of any provision of this contract or warranty, undertaking or representation, including but not limited to:
 - A misuse of BCI information;
 - A misrepresentation of my status to a client;

- The provision of advice to a client;
 - The failure to act in accordance with BCI's business terms as set out in the contract, including but not limited to the business terms relating to electronic and/or facsimile instructions
 - The failure on the part of myself or my employees to comply with any applicable legislation and/or regulations; or
 - The provision of incorrect, incomplete or fraudulent information in the contract or an application form.
- + I acknowledge and accept that if BCI reasonably suspects that it may have a claim against me under this indemnity, it may, in its sole discretion, withhold any fees due to me until the dispute is resolved.
- + I declare that the information provided in this contract is true and correct.
- + I undertake to advise BCI in a timely manner in writing if any of the details I have supplied or submitted to BCI change after I have signed the contract and related documents.
- + I acknowledge that I have received, read, understood and hereby agree to be bound by the contract.

+ I hereby confirm that I provided the client with a copy of the portfolio's Minimum Disclosure Document. Yes No

Signature of broker Date / /

Authorised signatory of Financial Services Provider (legal entity)

First Signatory Signed at
Full Name Date / /
Capacity

Second Signatory Signed at
Full Name Date / /
Capacity

CONTACT DETAILS

- + **Physical Address**
 Boutique Collective Investments
 Catnia Building
 Bella Rosa Village
 Bella Rosa Street
 Bellville
 7530
- + **Custodian / Trustee**
 The Standard Bank of South Africa Limited
 Tel: +27 (0)21 441 4100

Contact us
 Tel: +27 (0)87 057 0571 | +27 (0)21 914 1880 | Fax: +27 (0)86 502 5319
 Email: clientservices@bcis.co.za | Visit our website: www.bcis.co.za

Should you have any complaints, please send an email to complaints@bcis.co.za

