



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: 15px;" type="text"/>	<input style="width: 10%; height: 15px;" type="text"/>	Date of Inception <input style="width: 10%; height: 15px;" type="text"/> / <input style="width: 10%; height: 15px;" type="text"/> / <input style="width: 10%; height: 15px;" 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: 15%; height: 15px;" type="text"/>
Income Tax Ref Number	<input style="width: 80%;" type="text"/>		VAT Number <input style="width: 15%; height: 15px;" type="text"/>
Registered Address (Head Office)	<input style="width: 100%; height: 20px;" type="text"/>		
	<input style="width: 80%; height: 15px;" type="text"/>		Postal Code <input style="width: 10%; height: 15px;" type="text"/>
Business Operating Address	<input type="checkbox"/> If the same as above please check this box		
	<input style="width: 100%; height: 15px;" type="text"/>		
	<input style="width: 80%; height: 15px;" type="text"/>		Postal Code <input style="width: 10%; height: 15px;" 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%; height: 15px;" type="text"/>		
	<input style="width: 80%; height: 15px;" type="text"/>		Postal Code <input style="width: 10%; height: 15px;" type="text"/>
Contact Person			
Title	<input style="width: 100%; height: 15px;" type="text"/>		
Surname	<input style="width: 100%; height: 15px;" type="text"/>		
First Name(s)	<input style="width: 100%; height: 15px;" type="text"/>		
Telephone (H)	<input style="width: 15%; height: 15px;" type="text"/>	(W) <input style="width: 15%; height: 15px;" type="text"/>	<input style="width: 15%; height: 15px;" type="text"/>
Fax	<input style="width: 15%; height: 15px;" type="text"/>	Mobile	<input style="width: 15%; height: 15px;" type="text"/>
Email	<input style="width: 100%; height: 15px;" type="text"/>		

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: 087 057 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





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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
- 2.1.10 Copy of SARS return containing Tax Reference Number

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)
- 2.2.6 Copy of SARS return containing Tax Reference Number

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
- 2.4.6 Copy of SARS return containing Tax Reference Number

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
- 2.5.6 Copy of SARS return containing Tax Reference Number

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 Copy of Trustee resolution
- 3.5 Completed Annexure A for each Founder, Trustee, Beneficiary and all persons acting on behalf of the Trust

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

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