

Boutique Collective Investments (RF) (Pty) ("BCI") Ltd is part of the Apex Group Ltd. BCI is a registered Manager of the Boutique Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

## IMPORTANT INFORMATION

1. Please complete all relevant sections of this application in order for BCI to set up a broker account. 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 (0)86 502 5319, or email [instructions@bci-transact.co.za](mailto: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 ☐
  - 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 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"/>     | Date of Inception                                 | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/>     |                      |
| Trading Name               | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| Practise Name (FSP)        | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   | FSP Licence Number   | <input type="text"/> |                      |                      |                          |                      |
| Income Tax Ref Number      | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   | VAT Number           | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/>     | <input type="text"/> |
| Business Operating Address | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| Postal Address             | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   | Postal Code          | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/>     |                      |
|                            | <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 type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
|                            | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
|                            | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   | Postal Code          | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/>     |                      |
| <b>Contact Person</b>      |                          |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| Title                      | <input type="text"/>     | <input type="text"/>                       | <input type="text"/> | <input type="text"/> |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| Surname                    | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| First Name(s)              | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |
| 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"/>                              | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | (W) <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"/> | <input type="text"/>     | <input type="text"/>                              | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |                          |                      |
| Email                      | <input type="text"/>     |  |                      |                      |                      |                      |                      |                      |                          |   |                      |                      |                      |                      |                          |                      |

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

**If there are additional advisors please complete Annexure A**

|  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
|--|---|---|---|---|---|---|---|--|-----------------------|---|---|---|---|---|---|-----|---|--|--|--|--|--|--|--|--|--|--|--|
| Title  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| Surname  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| First Name(s)  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| ID Number/ Passport number<br>(if foreign national*) |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| Date of birth  | D | D | M | M | Y | Y | Y | Y  | Passport Expiry Date* | D | D | M | M | Y | Y | Y   | Y |  |  |  |  |  |  |  |  |  |  |  |
| FSP License No.                                      |   |   |   |   |   |   |   | Please attach a copy of licence and annexure detailing the conditions and restrictions |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| Telephone (H)  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   | (W) |   |  |  |  |  |  |  |  |  |  |  |  |
| Mobile   |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |
| Email  |   |   |   |   |   |   |   |  |                       |   |   |   |   |   |   |     |   |  |  |  |  |  |  |  |  |  |  |  |

|  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
|--|---|---|---|---|---|---|---|---|-----------------------|--|---|---|---|---|---|---|-----|--|--|--|--|--|--|--|--|--|--|--|
| Title  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| Surname  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| First Name(s)  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| ID Number/ Passport number<br>(if foreign national*) |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| Date of birth  | D | D | M | M | Y | Y | Y | Y | Passport Expiry Date* | D  | D | M | M | Y | Y | Y | Y   |  |  |  |  |  |  |  |  |  |  |  |
| FSP License No.                                      |   |   |   |   |   |   |   |   |                       | Please attach a copy of licence and annexure detailing the conditions and restrictions |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| Telephone (H)  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   | (W) |  |  |  |  |  |  |  |  |  |  |  |
| Mobile   |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |
| Email  |   |   |   |   |   |   |   |   |                       |  |   |   |   |   |   |   |     |  |  |  |  |  |  |  |  |  |  |  |

### SECTION 3: BANKING DETAILS FOR PAYMENT OF FEES EARNED

Please attach a relevant bank statement not older than 3 months. Please ensure that the bank account is a current, transaction or savings account in the name of the brokerage. No third party payments.

|                |                              |
|----------------|------------------------------|
| 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.

## 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 bureau 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 FSCA 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 will provide my clients with a copy of the portfolio's Minimum Disclosure Document prior to investment.

Yes ☐ No ☐

## BROKER DECLARATION

- + I confirm that all information provided in this form is true and correct.
- + Where this application form is signed in a representative capacity, I confirm that I have the necessary authority to do so.
- + I confirm that BCI may accept instructions from any authorised third-party who has been authorised by me in writing.
- + I have read and understood the relevant fund factsheets (minimum disclosure documents) of the unit trusts I wish to invest in.
- + I have read, understood and agree to the latest **Terms and Conditions** on the BCI website [www.bcis.co.za](http://www.bcis.co.za).
- + Where signed in the capacity as legal guardian, I explicitly consent to the use of the minor's personal details contained herein.
- + BCI will accept electronic signatures.
- + I hereby indemnify and hold BCI, its affiliates, directors, officers, employees, and agents harmless from and against any and all claims, losses, liabilities, damages, costs, and expenses (including reasonable legal fees) arising from or in connection with the use of electronic signatures, including any fraud, misrepresentation, or unauthorised use by any person.

## PRIVACY STATEMENT

Boutique Collective Investments (RF)(Pty) Ltd ("BCI") takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and the BCI Privacy Policy. It is important to us that you understand how we obtain, process, store, and share your information. We may disclose your information to other entities in the Apex Group and/or its subsidiaries, agents, partners, or sub-contractors, for purposes as described in this application or related privacy policies. By submitting any personal information to BCI you provide us with your consent to, alternatively acknowledge, the processing and sharing of your personal information and/or that personal information which you have provided that relates to other data subjects, as set out in the Privacy Policy. Please do not submit any personal information to BCI if you do not agree/ object to any of the provisions of the Privacy Policy. Should you object to the Privacy Policy, or parts thereof, BCI may not be able to provide its products and/or services to you. To access the BCI Privacy Policy please click on the [link](#) or on the BCI website [www.bcis.co.za](http://www.bcis.co.za).

Signature of broker

Date   /   /

## Authorised signatory of Financial Services Provider (legal entity)

First Signatory

Signed at

Date

  /   /    

Full Name

Capacity

Second Signatory

Signed at

Date

  /   /    

Full Name

Capacity

## CONTACT DETAILS

- + **Physical Address**  
Boutique Collective Investments  
Catnia Building  
Bella Rosa Village  
Bella Rosa Street  
Bellville  
7530

### Contact us

Tel: +27 (0)21 007 1500/1/2 | Fax: +27 (0)86 502 5319  
Email: [bci\\_clientservices@fundrock.com](mailto:bci_clientservices@fundrock.com) | [bci\\_compliance@fundrock.com](mailto:bci_compliance@fundrock.com)

Visit our website: [www.bcis.co.za](http://www.bcis.co.za)

Should you have any complaints, please send an email to [bci\\_complaints@fundrock.com](mailto:bci_complaints@fundrock.com)

- + **Custodian / Trustee**  
The Standard Bank of South Africa Limited  
Tel: +27 (0)21 441 4100

**ASISV**

AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA

# Annexure A

## Additional Representatives

Boutique Collective Investments (RF) (Pty) ("BCI") Ltd is part of the Apex Group Ltd. BCI is a registered Manager of the Boutique Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

### ADDITIONAL REPRESENTATIVES (Please print as many copies as is necessary)

|  |   |
|--|---|
| Title  | <input type="text"/>  |
| Surname  | <input type="text"/>  |
| First Name(s)  | <input type="text"/>  |
| ID Number/ Passport number<br>(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"/>   |
| FSP License No.                                      | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>   |
| 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"/> |
| 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"/> <input type="text"/> <input type="text"/> |
| Email  | <input type="text"/>  |

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

Would you like viewing access only? ☐ Yes ☐ No

|  |   |
|--|---|
| Title  | <input type="text"/>  |
| Surname  | <input type="text"/>  |
| First Name(s)  | <input type="text"/>  |
| ID Number/ Passport number<br>(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"/>   |
| FSP License No.                                      | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>   |
| 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"/> |
| 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"/> <input type="text"/> <input type="text"/> |
| Email  | <input type="text"/>  |

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

Would you like viewing access only? ☐ Yes ☐ No

|  |   |
|--|---|
| Title  | <input type="text"/>  |
| Surname  | <input type="text"/>  |
| First Name(s)  | <input type="text"/>  |
| ID Number/ Passport number<br>(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"/>   |
| FSP License No.                                      | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>   |
| 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"/> |
| 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"/> <input type="text"/> <input type="text"/> |
| Email  | <input type="text"/>  |

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

Would you like viewing access only? ☐ Yes ☐ No

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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, obligates 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. BCI reserves the right to request additional supporting documents.

#### 1 NATURAL PERSONS

##### 1.1. SA Citizen/Resident

- 1.1.1. Copy of your green bar-coded Identity Document/Card (South African citizens)

\* South African citizens: a passport /driver's license containing the above information will only be accepted with a written reason for the unavailability of the ID document/Card

##### 1.2. Foreign Nationals

- 1.2.1. Copy of valid passport if 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)

##### 1.4. Deceased Estate

- 1.4.1. Death Certificate
- 1.4.2. Letter of Executorship/Letter of Authority
- 1.4.3. Copy of identity documents for persons acting on behalf of the estate
- 1.4.4. Utility bill (not older than 3 months) of each person acting on behalf of the estate
- 1.4.5. Proof of estate late bank account

#### 2. LEGAL PERSONS

##### 2.1. SA Companies (Unlisted)

- 2.1.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout
- 2.1.2. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)
- 2.1.3. Completed Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, each majority shareholder, controlling person that are natural persons as described in Annexure A

##### 2.2. SA Close Corporations

- 2.2.1. Founding Statement and Certificate of Incorporation (CK1) and
- 2.2.2. Amended Founding Statement (CK2) (if applicable)
- 2.2.3. Proof of Authority to act on behalf of Closed Corporation (e.g. resolution)
- 2.2.4. Completed Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) for each member AND each authorised person

##### 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 Authority to act on behalf of the company (e.g. Board resolution)
- 2.3.4. Copy of passport of all authorised persons
- 2.3.5. Completed Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, each majority shareholder, controlling person that are natural persons as described in Annexure A

##### 2.4. Partnership

- 2.4.1. Copy of Partnership Agreement
- 2.4.2. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)
- 2.4.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 2.4.4. Completed Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) for each partner AND each authorised person

##### 2.5 Listed Company

- 2.5.1. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)
- 2.5.2. Complete Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) of all authorised persons or person acting on behalf of legal entity
- 2.5.3. Documentary evidence of listing (printing from official website of stock exchange on which the entity is listed)
- 2.5.4. Completed Annexure A and copy of green bar-coded Identity Document/Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, each majority shareholder, controlling person that are natural persons as described in Annexure A

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### 3. TRUSTS

- 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/Card (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

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### 4. TESTAMENTARY TRUSTS

- 4.1. Letters of Authority issued by Master of High Court
- 4.2. Copy of Trustee resolution/power of attorney
- 4.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all Trustees, Beneficiaries and authorised persons
- 4.4. Completed Annexure A for all Trustees, Beneficiaries and authorised persons and authorised person

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### 5. RETIREMENT FUNDS

- 5.1. Copy of FSCA document reflecting the funds registration number and fund name
- 5.2. Proof of Authority to act on behalf of Retirement fund (e.g. resolution)
- 5.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 5.4. Completed Annexure A for each authorised person
- 5.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the Retirement Fund completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the Retirement Fund

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### 6. MEDICAL SCHEMES

- 6.1. Registrar of Medical Schemes approval of registration certificate
- 6.2. Proof of Authority to act on behalf of Medical Scheme (e.g. resolution)
- 6.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 6.4. Completed Annexure A for each authorised person
- 6.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the Medical Scheme completed Annexure A for each authorised person acting on behalf of the legal entity

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### 7. OTHER LEGAL ENTITIES

*(Unions, Clubs, Churches, NPOs, NPCs, Stokvels, Associations, Schools, Universities, etc.)*

- 7.1. Founding document or Document of constitution or Registration certificate
- 7.2. Proof of Authority to act on behalf of Legal Entity (e.g. resolution)
- 7.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 7.4. Completed annexure A for all members and authorised persons of the legal entity
- 7.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the legal entity completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the Legal Entity
- 7.6. Proof of Authority to act appointing 3rd party (e.g. mandate, resolution, power of attorney)

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### 8. COLLECTIVE INVESTMENT (FUNDS)

- 8.1. Copy of schemes FSCA approved Supplemental Deed
- 8.2. Proof of authority to act on behalf of CIS (eg. Resolution)
- 8.3. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 8.4. Complete Annexure A for each authorised person

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### 9. LINKED INVESTMENT SERVICE PROVIDER (LISP)/NOMINEE COMPANIES

- 9.1. Copy of FSCA document reflecting the LISPS registration number
- 9.2. LISP company registration documents
- 9.3. Proof of authority to act on behalf of LISP (eg. Resolution)
- 9.4. Copy of green bar-coded Identity Document/Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
- 9.5. Complete Annexure A for each authorised person