



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, 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. All FICA documentation must be either original or certified as the original.

### FICA DOCUMENTATION REQUIRED

- + Advisors 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 process 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 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).

## 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

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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 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. 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