FUND ROCK | BOUTIQUE COLLECTIVE INVESTMENTS

FICA REQUIREMENTS

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.

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/ID 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

1.2.2. Proof of address (not older than 3 months)

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

1.4.6. Copy of the Will

2. LEGAL PERSONS

2.1. SA Companies (listed and 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/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company

2.1.4. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.2. SA Close Corporations

2.2.1. Founding Statement or Certificate of Incorporation (CK1) or most recent CIPC printout

2.2.2. Amended Founding Statement (CK2) (if applicable for name change)

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/ID Card (South African citizens) or passport (Foreign Nationals) for natural person who owns controlling interest, all members 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. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), and natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company (i.e. nominee shareholders of controlling shares)

2.3.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.3.6. Proof of address (not older than 3 months) for each foreign natural person

2.4. Partnership

2.4.1. Copy of Partnership Agreement

2.4.2. Proof of Authority to act on behalf of the partnership (e.g. Board resolution, court order)

2.4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

2.4.4. Completed Annexure A for each partner, each authorised person and each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

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/ID 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
3.6. Provide death certificate in event of Founder, Trustee or beneficiary being deceased. Should a Trustee become deceased or resign, a new Letter of Authority must be obtained from the Master of the High Court or Endorsement letter stamped by the Master of High Court

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/ID 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

5. RETIREMENT FUNDS/PROVIDENT 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/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons and all trustees
5.4. Completed Annexure A for each authorised person and each trustee
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

6. OTHER LEGAL ENTITIES

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

6.1. Founding document or Document of constitution or Registration certificate
6.2. List of all members
6.3. Resolution signed by all members appointing authorised signatories
6.4. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons
6.5. Completed annexure A for all members, management and authorised persons of the legal entity
6.6. 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
6.7. Proof of Authority to act appointing 3rd party (e.g. mandate, resolution, power of attorney)

7. COLLECTIVE INVESTMENTS (FUNDS)

7.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
7.2. Copy of schemes FSCA approved Supplemental Deed or foreign equivalent
7.3. Proof of authority to act on behalf of CIS (e.g. Resolution)
7.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
7.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

8. LINKED INVESTMENT SERVICE PROVIDER (LISP)

8.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
8.2. Copy of FSCA document reflecting the LISPS registration number
8.3. Proof of authority to act on behalf of LISP (e.g. Resolution)
8.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
8.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors