

# Form 2



## BIPS INVESTMENT PLAN – ADDITIONAL INVESTMENT APPLICATION FORM

To be completed by clients who already have Bips Investment Plan accounts and who wish to make additional investments, either lump sum or by debit order. **NB:** Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days for all cheques within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (ie: Lesotho, Namibia and Botswana). Therefore the funds will only be available to be invested after the clearing period has lapsed.

Please complete this application form and submit by fax to 011 252 7044 or E-mail bips@aospartner.com. Should you have any queries concerning this application form, please contact our Call Centre on: 0860 00 2477.

### 1. INVESTOR DETAILS

Bips Investment Plan Client No.:

Title:  First Names:

Surname / Registered Name:

Identity / Passport / Registration No.:  Date of birth:

Home Tel No.:  Office Tel. No.:

Fax No.:  Cellular No.:

E-mail Address:

### INVESTOR BANK DETAILS

(This bank account must be in the name of the investor or legal guardian as in the case of a minor).

Name of account holder:

Bank:

Account No.:  Account Type: Cheque  Savings  Transmission

Branch Name:  Branch Code:

If bank details are different from those given on original application form, please include your proof of South African bank account with this application form (copy of cancelled cheque or current bank statement which reflects bank name, acc. holder's full name and bank acc. no.). No Internet or Credit Card statements will be accepted. **NB:** Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days for all cheques within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (ie: Lesotho, Namibia and Botswana). Therefore the funds will only be available to be invested after the clearing period has lapsed

### 2. INVESTMENT DETAILS

Source of Funds: Salary  Policy  Donation  Gift  Savings  Investment  Inheritance

Other (Please specify):

### LUMP SUM INVESTMENT

Total lump sum investment amount (minimum single investment: R1000 per security)

Split over each security as follows:  
Bips Top40

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Distribution Instruction\*:  Reinvest  Pay out

\*NB: All distributions less than R100.00 will automatically be reinvested.

Please use your client no. or ID number as the deposit reference. Electronic internet transfers may take up to 2 days to appear in our bank account. Securities may only be traded upon confirmed receipt of documentation and funds are reflected in to the relevant bank account. Please include your proof of payment with this application form (deposit slip; electronic payment confirmation). **NB: Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days for all cheques within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (ie: Lesotho, Namibia and Botswana). Therefore the funds will only be available to be invested after the clearing period has lapsed.**

**Lump sum payments should be made to:**

**IIC-Bips Inflow a/c**

Bank: ABSA  
 Branch: Randburg  
 Branch Code: 505-705  
 Account No.: 40-7446-4109

**3. FEE SCHEDULE AS FROM 1 APRIL 2010**

Annual administration fee: (calculated daily and deducted quarterly)

Total Investment Per Fund	Fee
R0 to R100 000	0,80%
R100 000 to R250 000	0,75%
R250 000 to R1 000 000	0,70%
R1 000 000 to R3 000 000	0,50%
R3 000 000 or more	0,45%

**Transaction Fees**

Debit order fee: R3.50

Stock brokerage fees: 0.10% (applicable to purchases and sales)

Nominal Strate and Investor Protection levies will also be charged.

Where a financial adviser is used, commissions will be charged (as scheduled in Section 7).

All fees quoted are exclusive of VAT. VAT will be levied where applicable.

**4. INVESTOR DECLARATION**

(This declaration must be signed by all investors).

The Investor, or where applicable, his authorized signatory, by appending his signature hereto, states and declares that he/she has read and understood the terms and conditions pertaining to this investment product and the investment media selected; warrants that all statements given by him in the application form and this form are true and correct in every respect and that such statements, together with the Investment Confirmation, shall form the basis of this agreement, which is to be entered into with Automated Outsourcing Services (Pty) Ltd, as well as the contract between the Investor and the Financial Service Provider/ Representative.

The Investor acknowledges that he/she is aware of and understands the fees and commissions applicable to this investment, and the risks associated with the investment choice.

The investor agrees that the responsibility to assure receipt of any instruction by the Administrator via fax or e-mail remains the responsibility of the investor

Signed at

Signature of Investor (or duly authorised person/s where applicable)

Date (ccyy-mm-dd)

Signature of Contact Person or Legal Guardian (if applicable)

Date (ccyy-mm-dd)

**5. FINANCIAL SERVICE PROVIDER (If applicable)**

(If you are not using a Financial Adviser, this section of the application form does not need to be completed)

Name of Financial Service Provider / Brokerage:

Financial Service Provider / Brokerage Code:

Name of Representative:

Representative Code:

Branch Name:  Branch Code:

Trading Address:

Postal Code:

Postal Address:

Postal Code:

Office Tel No.:  E-mail Address:

Fax No.:  Cellular No.:

Financial Service Provider Commission:

Initial Upfront Commission on investment  (Max 3%)

Annual Service Fee  (Max 1% p.a.)

**FINANCIAL SERVICE PROVIDER DECLARATION (If applicable)**

The Financial Service Provider / Representative, by appending his signature hereto, states and declares that he/she has read and understood the terms and conditions pertaining to this investment product and the investment media selected; warrants that all statements given by him in the application form and this form are true and correct in every respect and that such statements, together with the Investment Confirmation, shall form the basis of the contract, which is to be entered into, between the Investor and Automated Outsourcing Services (Pty) Ltd, as well as the contract between the Investor and the Financial Service Provider / Representative.

The Financial Service Provider / Representative further acknowledges and certifies that he/she has personally explained all the features of the product to the Investor.

The Financial Service Provider / Representative declares and confirms in terms of the Financial Intelligence Centre Act, No 38 of 2001 (FICA) that:

- he/she has taken all reasonable steps to establish the identity of the Investor before entering into a business relationship with him, or concluding a single transaction with him.
- he/she has verified the client information in accordance with the requirements set out in Section 21 of FICA.
- he/she has obtained copies of the Investor's identification document and any other verification documentation required in terms of Section 22 of FICA, and is keeping record of the required documents.

The Financial Service Provider / Representative acknowledges that he/she has personally explained all the fees and commissions including all the risks associated with the investment choice, to the client.

Signed at

Signature of authorised Financial Service Provider / Representative

Date (ccyy-mm-dd)

**6. CONTACT DETAILS**

**Bips Investment Plan**

Contact Details	Postal Address	Physical Address
Bips Contact Centre : Fax: Email: Website:	0860 00 2477 +27 (011) 252 7044 <a href="mailto:bips@aospartner.com">bips@aospartner.com</a> <a href="http://www.bipsetf.co.za">www.bipsetf.co.za</a>	PO Box 4769 Randburg 2125 15 Philips Street Randburg

## FICA Documentation Checklist

**Due Diligence Requirements – New Applicants must send the following applicable FICA documents Together with a fully completed New Business Application form.**

**Additional or updated documentation may be requested in certain circumstances.**

**Please ensure that the information provided on the FICA documentation is clear and certified if a copy.**

**All FICA documents must be less than 3 months old except for income tax forms / property insurance policy schedules. If a Financial Service Provider (FSP) / Representative is utilised, a certified copy of the FSP license is required.**

Individual	Trust
<p style="text-align: center;"><b>Identification</b></p> <p><u>Clear copy of one of the following:</u></p> <ul style="list-style-type: none"> <li>• Current valid passport</li> <li>• National identity card or document</li> <li>• Armed Forces identity card</li> </ul> <p style="text-align: center;"><b>Confirmation of address</b></p> <p><u>Clear copy of one of the following, confirming Name and Address:</u></p> <ul style="list-style-type: none"> <li>• A utility bill</li> <li>• A council tax bill / assessment</li> <li>• An income tax form / extract [<b>NB:</b> a print out off e-filing is not acceptable proof of residence]</li> <li>• A property insurance policy schedule</li> <li>• A most recent lease / rental agreement</li> <li>• Affidavit (<b>NB:</b> must be declared by the investor and not a third party).</li> </ul> <p style="text-align: center;"><b>Related due diligence</b></p> <ul style="list-style-type: none"> <li>• Proof of Banking details – either: <ul style="list-style-type: none"> <li>- Cancelled Cheque or Bank Statement</li> <li>- A letter from Bank confirming banking details</li> </ul> </li> <li>• Proof of Income Tax Number</li> </ul>	<p style="text-align: center;"><b>Identification</b></p> <ul style="list-style-type: none"> <li>• Trustees – as per individual requirements, or company requirements for corporate trustees</li> <li>• Extract of Trust Deed pages showing name of Trust, parties to the Trust and signature pages</li> <li>• Letter of Authority from Master (SA Trust) or Foreign Regulator (Foreign Trusts) to Trustees</li> </ul> <p style="text-align: center;"><b>Confirmation of address</b></p> <ul style="list-style-type: none"> <li>• Trust – as per individual requirements</li> <li>• Trustees – as per individual requirements</li> </ul> <p style="text-align: center;"><b>Related due diligence</b></p> <ul style="list-style-type: none"> <li>• Authorised signatory list including specimen signatures</li> <li>• Proof of Trust banking details – as per individual requirements</li> <li>• Proof of VAT registration (if applicable)</li> <li>• Proof of Income Tax Number</li> </ul>
<b>Investing in Name of Minor</b>	<b>Investor Clubs and Stokvels</b>
<ul style="list-style-type: none"> <li>• Minor – Certified copy of birth certificate</li> <li>• Legal Guardian – as per individual requirements</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Proof of South African Reserve Bank approval (if applicable)</li> <li>• Copy of constitution / founding document</li> <li>• Copy of register of participants</li> <li>• Letter electing and authorising person to act on behalf of the club / stokvels</li> <li>• Representative – as per individual requirements</li> <li>• Administrator reserves the right to request FICA documents for all participants</li> </ul> <p style="text-align: center;"><b>Related due diligence</b></p> <ul style="list-style-type: none"> <li>• Authorised signatory list including specimen signatures</li> <li>• Proof of Club and Stokvel banking details – as per individual requirements</li> </ul>
<b>Company</b>	<b>Partnership</b>
<ul style="list-style-type: none"> <li>• Proof of South African Reserve Bank approval (if applicable)</li> </ul> <p style="text-align: center;"><b>Identification</b></p> <ul style="list-style-type: none"> <li>• Certificate of Incorporation (CM1, CM22 and CM29)</li> <li>• Board resolution authorising the investment (and / or approval to act as trustee if a corporate trustee)</li> <li>• Directors – as per individual requirements</li> <li>• All shareholders holding 25% or more of voting rights at a general meeting – as per individual requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Proof of South African Reserve Bank approval (if applicable)</li> </ul> <p style="text-align: center;"><b>Identification</b></p> <ul style="list-style-type: none"> <li>• Latest Annual Reports and Accounts</li> <li>• Resolution of the partners to invest</li> <li>• All Partners – as per individual requirements</li> </ul> <p style="text-align: center;"><b>Confirmation of address</b></p> <ul style="list-style-type: none"> <li>• All Partners – as per individual requirements</li> </ul>

**Confirmation of address**

- Company – CM1, CM22 and CM29
- Directors – as per individual requirements
- Name(s) and address(es) of all directors
- All shareholders holding 25% or more of voting rights at a general meeting – as per individual requirements

**Related due diligence**

- Authorised signatory list including specimen signatures
- Proof of Banking details – as per individual requirements
- Proof of VAT registration (if applicable)
- Proof of Income Tax Number

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- Authorised signatory list including specimen signatures
- Proof of Banking details – as per individual requirements
- Proof of VAT registration (if applicable)
- Proof of Income Tax Number

**Closed Corporations**

**Identification**

- Founding Statement and Certificate of Incorporation
- Resolution of the members to invest
- Members – as per individual requirements

**Confirmation of address**

- Close Corporation – CK1 and CK2
- Members – as per individual requirements

**Related due diligence**

- Proof of Banking details – as per individual requirements
- Proof of VAT registration (if applicable)
- Proof of Income Tax Number

**Source of funds** (the proceeds to be invested need to have been accumulated and invested legitimately):

- Declaration on the application advising how the funds have legitimately arisen (from which legitimate activity, event or circumstances)