



**4. FEE SCHEDULE**

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% (buying and selling)

Nominal Strate and Investor Protection levies will also be charged.

Where a financial adviser is used, commissions will be charged (as scheduled in Section 8).

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

**5. 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 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 with Satrix Managers (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)

**6. 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 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, Satrix Managers (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 the 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)

**7. CONTACT DETAILS**

**Satrix Investment Plan**

Contact Details	Postal Address	Physical Address
Satrix Contact Centre : 086 110 0670 Fax Johannesburg: +27 (011) 388 8558 Fax Cape Town: +27 (021) 413 1940 Email: <a href="mailto:satrix@aospartner.com">satrix@aospartner.com</a> Website: <a href="http://www.satrix.co.za">www.satrix.co.za</a>	PO Box 4769 Randburg 2125	272 Pretoria Avenue Ferndale 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>Clear copy of one of the following:</p> <ul style="list-style-type: none"> <li>• Current valid passport</li> <li>• National identity card or document</li> <li>• Driver's license (including photograph)</li> <li>• Armed Forces identity card</li> </ul> <p style="text-align: center;"><b>Confirmation of address</b></p> <p>Clear copy of one of the following, confirming Name and Address:</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</li> <li>• A property insurance policy schedule</li> <li>• A most recent lease / rental agreement</li> <li>• Making a credit reference agency search or seeking a bankers reference</li> <li>• Affidavit</li> </ul> <p style="text-align: center;"><b>Related due diligence</b></p> <ul style="list-style-type: none"> <li>• Proof of South African Banking details – either: <ul style="list-style-type: none"> <li>- Cancelled Cheque or Bank Statement (no internet or credit card statement accepted)</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 Banking details – as per individual requirements</li> <li>• Proof of VAT registration (if applicable)</li> <li>• Proof of Income Tax Number</li> </ul>
<p style="text-align: center;"><b>Investing in Name of Minor</b></p> <ul style="list-style-type: none"> <li>• Minor – Certified copy of birth certificate</li> <li>• Legal Guardian – as per individual requirements</li> <li>• If investment done by third Party (including Grandparent) – also need FICA requirements as per individual over and above that of the legal guardian</li> </ul>	<p style="text-align: center;"><b>Investor Clubs and Stokvels</b></p> <ul style="list-style-type: none"> <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>Company</b></p> <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> <p style="text-align: center;"><b>Confirmation of address</b></p> <ul style="list-style-type: none"> <li>• Company – CM1, CM22 and CM29</li> <li>• Directors – as per individual requirements</li> <li>• Name(s) and address(es) of all directors</li> <li>• All shareholders holding 25% or more of voting rights at a general meeting – 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 Banking details – as per individual requirements</li> <li>• Proof of VAT registration (if applicable)</li> <li>• Proof of Income Tax Number</li> </ul>	<p style="text-align: center;"><b>Partnership</b></p> <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> <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 Banking details – as per individual requirements</li> <li>• Proof of VAT registration (if applicable)</li> <li>• Proof of Income Tax Number</li> </ul> <hr/> <p style="text-align: center;"><b>Closed Corporations</b></p> <p style="text-align: center;"><b>Identification</b></p> <ul style="list-style-type: none"> <li>• Founding Statement and Certificate of Incorporation</li> <li>• Resolution of the members to invest</li> <li>• Members – as per individual requirements</li> </ul> <p style="text-align: center;"><b>Confirmation of address</b></p> <ul style="list-style-type: none"> <li>• Close Corporation – CK1 and CK2</li> <li>• Members – as per individual requirements</li> </ul> <p style="text-align: center;"><b>Related due diligence</b></p> <ul style="list-style-type: none"> <li>• Proof of Banking details – as per individual requirements</li> <li>• Proof of VAT registration (if applicable)</li> <li>• Proof of Income Tax Number</li> </ul>
<p><b>Source of funds</b> (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)</p>	