

**Form 9**

**SATRIX INVESTMENT PLAN – DEBIT ORDER ADDITIONAL INVESTMENT APPLICATION FORM**

**To be completed by clients who already have Satrix Investment Plan accounts and who wish to make new or additional debit order investments.**

Please complete this application form and submit by fax to 011 388 8558 / 021 413 1940 or E-mail [satrix@aospartner.com](mailto:satrix@aospartner.com). Should you have any queries concerning this application form, please contact our Call Centre on: 086 1100 670 (International Dialling: +27 11 561 6890).

**COMMUNICATION WITH THE SATRIX INVESTMENT PLAN**

Please send all communication (including quarterly statement) via:      Email                       Post

**(Please note, where no preference is indicated, email will be used for communication by Automated Outsourcing Services (Pty) Ltd ("the Administrator"))**

**1. INVESTOR DETAILS**

Satrix Investment Plan Client No.:

Title:  First Names:

Surname / Legal Entity Name:

Home Tel No.:  Office Tel. No.:

Fax No.:  Cellular No.:

E-mail Address:

**2. INVESTMENT DETAILS**

Source of Funds:      Salary  Policy  Donation  Gift  Savings  Investment  Inheritance

Other (Please specify):

**DEBIT ORDER INVESTMENT**

Total debit order investment amount (minimum investment: R300 per debit order per security) : R

Split over each security as follows:

Satrix 40:	R																		
Satrix FINI:	R																		
Satrix RESI:	R																		
Satrix RAFI**:	R																		

Satrix INDI:	R																		
Satrix SWIX:	R																		
Satrix DIVI:	R																		

Debit Order Date:                      3rd of the Month                       25th of the Month

Investment Intervals:                      Monthly                       Quarterly                       Half yearly                       Annually

Annual Increase:                      5%                       10%                       15%                       20%

Distribution Instruction\*:                       Re-invest                       Pay out

\*NB: All distributions less than R100.00, per portfolio, will automatically be re-invested.

**\*\*All income in the Satrix RAFI 40, which is a total return fund, is automatically reinvested in the portfolio on the date of receipt by the asset manager.**

**DEBIT ORDER BANK DETAILS**

Name of account holder:

Bank:

Account No.:                      Account Type: Cheque  Savings  Transmission

Branch Name:                      Branch Code:

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.) Please note that no Credit Card or Internet bank statements will be accepted.

**Debit Order Authority**

- I/We hereby request, instruct and authorize Satrix Nominees (Pty) Limited, its successors or its assignees to draw against my/our account with the bank noted above (or any bank or branch to which I/we may transfer my account).
- I/We understand that all such withdrawals from my/our bank account shall be treated as though they had been signed by me/us personally.
- I/We agree to pay any bank charges and costs relating to the debit order authority, including debit order rejection fees.
- I/We acknowledge that I/we may cancel this authority by giving the Administrator not less than 10 calendar days' written notice.
- I/We agree that receipt of this instruction by the Administrator shall be regarded as receipt thereof by my/our bank.
- In order to activate the debit order, the Administrator must receive the application form at least 10 days prior to the first debit order date.
- The debit order will only be actioned on the signing of this Authority.
- There is a 40 day holding period on Satrix securities bought with the most recent debit order

\_\_\_\_\_  
Signature of bank account holder

\_\_\_\_\_  
Date (ccyy-mm-dd)

**3. 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

**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 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 Administrators 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 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)****6. CONTACT DETAILS**

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	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>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>• 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>• Affidavit (<b>NB</b>: this 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 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 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>• 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>
<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>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>
	<b>Closed Corporations</b>
	<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>

**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)