

**INVESTMENTS**

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# FICA Request for Individual Information

## Unit Trust Scheme

### Individual information

In terms of the *Financial Intelligence Centre Act, 38 of 2001 (FICA)*, the following information is required from you.

Surname\*

First name(s)\*

Identity number\* (passport number, if foreign national)

Gender

☐

Male

☐

Female

Date of birth

Occupation

Country of residence

**Residential address\***

Unit number

Complex name

Street number

Street/farm name

Suburb/district

City/town

Country

Postal code

**Postal/in care address (if different to residential address)**

City/town

Country

Postal code

home

\_\_\_\_\_

work

\_\_\_\_\_

cellphone

\_\_\_\_\_

fax

| | | | |

Email address

Please indicate how you would like us to communicate with you. ☐ Email ☐ Post

**If you have no preference, we will send correspondence to your email address. If you have not provided an email address, we will send correspondence to your postal address.**

**Certified documents must reflect the residential address and not the postal address.**

- Lease/rental agreement; **OR**
- Bank statements (not older than three (3) months); **OR**
- SARS clearance certificate; **OR**
- Municipal rates and taxed invoice (not older than three (3) months old); **OR**
- Electricity account; **OR**
- Telephone/cellphone account (not older than (3) three months old); **OR**
- SARS tax return/IRP5; **OR**
- Valid television license; **OR**
- Valid E-Toll statement.
- No utility bill in investors name (joint address form + FICA of person who they are residing with).

## CIS disclosures

### General

Collective Investment Schemes (unit trusts) are generally medium to long-term investments. The value of participatory interests (units) or the investment may go down as well as up. Past performance is not necessarily a guide to future performance. Collective investment schemes are traded at ruling prices and can engage in borrowing and scrip lending (i.e. borrowing and lending of assets). The manager does not provide any guarantee, either with respect to the capital or the return of a portfolio. Different classes of participatory interests apply to these portfolios and are subject to different fees and charges. A schedule of all fees and charges, inclusive of VAT and maximum commissions, is available on request from us or from your financial adviser. Forward pricing is used.

### Redemptions

The collective investment scheme may borrow up to 10% of the market value of the portfolio to bridge insufficient liquidity. The ability of the portfolio to repurchase, is dependent upon the liquidity of the securities and cash of the portfolio. A manager may suspend repurchases for a period, subject to regulatory approval, to await liquidity, and the manager must keep the investors informed about these circumstances.

### Yields

The yield for bond and income portfolios is historic and is calculated quarterly. The yield for the money market portfolio is calculated daily. The yield is calculated by means of a yield curve, which will be the daily updated average of the Negotiable Certificate of Deposit (NCD) rates that are published by the four major South African banks, namely First National Bank, ABSA Bank, Standard Bank and Nedbank. A compounding formula is applied to the curve, depending on whether the instrument pays interest annually (NACA), semi-annually (NACS), or quarterly (NACQ).

### Prices

The latest **PRICES** and TER are published daily in the Business Report (South Africa's National Financial Daily) and are made available on our website (click on the name to access the prices.)

### Performance fees

Performance fees are not levied on the portfolio.

### Valuations and transaction cut-off times

The portfolio is valued daily, at the end of the day (18:00). The withdrawal instruction must be received before 13:00 on the pricing date, failing which, the next pricing date will apply.

### Additional information

For additional information on the portfolio, refer to the following documents, available on our website, from your financial adviser, or on request from the manager, free of charge. (Click on the name to download the document.)

- [Application Form for Legal Entities](#)
- [Application Form for Individual Investors](#)
- [Annual Report](#)
- [Fees and Charges Schedule](#)
- [Quarterly General Investor Report](#)
- [Portfolio Summary](#)

### Complaints and conflicts of interest

The **COMPLAINTS POLICY AND PROCEDURE**, as well as the **CONFLICTS OF INTEREST MANAGEMENT POLICY**, are available on our website. (Click on the name to download the document.) Associates of the manager may be invested within certain portfolios, and the details thereof are available from the manager.

### Closure of the portfolio

The manager has the right to close certain portfolios to new investors, in order to manage them more efficiently, in accordance with their mandates.

## Contact details

### CIS Manager

Alexander Forbes Investments Unit Trusts Limited

**Registration number:** 2001/015776/06

**Physical address:** 115 West Street, Sandown, 2196

**Postal address:** PO Box 786055, Sandton, 2146

**Telephone number:** + 27 (0)11 505 6000

**Email address:** [afinvestments@aforbes.com](mailto:afinvestments@aforbes.com)

**Website address:** [www.alexanderforbesinvestments.co.za](http://www.alexanderforbesinvestments.co.za)

### Directors:

<https://www.alexanderforbesinvestments.co.za/About-Us/Leadership>

The manager is registered as a manager of collective investment schemes, in terms of the *Collective Investment Schemes Control Act*. The manager is a member of the *Association for Savings and Investment South Africa (ASISA)*.

### Trustee

FirstRand Bank Limited, acting through RMB Trustee Services

**Registration number:** 1929/001225/06

**Physical address:** No. 3 First Place, Corner Jeppe and Simmonds Streets, Johannesburg, 2001

**Postal address:** PO Box 7713, Johannesburg, 2000.

**Telephone number:** +27 (0) 87 736 1732

**Email address:** [info@rmb.co.za](mailto:info@rmb.co.za)

**Website address:** [www.rmb.co.za](http://www.rmb.co.za)

The trustee is registered as a trustee of collective investment schemes, in terms of the *Collective Investment Schemes Control Act*.

### Investment Manager

Alexander Forbes Investments Limited

**Registration number:** 1997/000595/06

**FSP number:** 711

**Physical address:** 115 West Street, Sandown, 2196

**Postal address:** PO Box 786055, Sandton, 2146

**Telephone number:** + 27 (0)11 505 6000

**Email address:** [afinvestments@aforbes.com](mailto:afinvestments@aforbes.com)

**Website address:** [www.alexanderforbesinvestments.co.za](http://www.alexanderforbesinvestments.co.za)

The investment manager is an authorised Financial Services Provider (FSP), as discretionary FSP, in terms of Section 8 of the *Financial Advisory and Intermediary Services Act (FAIS)*. This information is not advice, as defined in FAIS. Please be advised that there may be representatives acting under supervision.