

# Know Your Customer: Non-Individual Investor Form



## 1. Investor details

Registered name of legal entity \_\_\_\_\_

Company Registration Number \_\_\_\_\_

Trading Name \_\_\_\_\_

\*(only complete if different from the registered name)

Country of Incorporation \_\_\_\_\_

Date of Incorporation \_\_\_\_\_

Nature of Business \_\_\_\_\_

Email Address \_\_\_\_\_

Registered Address \_\_\_\_\_

Postal address \_\_\_\_\_

\*(only complete if different from the registered address)

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Website \_\_\_\_\_

\*(only if applicable)

The following information is required for local and international tax compliance with Income Tax Act, Foreign Account Compliance Act (FATCA) and Common Reporting Standards (CRS)

Primary country of tax residence \_\_\_\_\_ Tax Identification Number \_\_\_\_\_

If your primary country of tax residence is Botswana, are you registered for Value-Added Tax (VAT)?

Yes  No If "Yes", please supply your VAT number \_\_\_\_\_

Is the organisation a registered tax payer of any country other than your primary country of residence?

Yes  No

If "Yes", please complete the information below for each country of tax residency

Country of tax residence	Tax Identification Number

Organisation's classification under FATCA (if applicable, please fill the below)

- Participating Foreign Financial Institution (in a non-Intergovernmental Agreement jurisdiction).
- Non-Participating Foreign Financial Institution (in a non - Intergovernmental Agreement jurisdiction).
- Financial Institution resident in the USA or in a US Territory.
- Exempt Beneficial Owner (this includes a Botswana registered retirement scheme, a Botswana Governmental Organisation, or an International Organisation).
- Deemed Compliant Foreign Financial Institution (this includes Non-Profit Organisations and Financial Institutions with a Local Client Base).

If you are a financial institution that has obtained a Global Intermediary Identification Number (GIIN), kindly provide the GIIN number below:

If your organisation is not a Financial Institution, please specify below:

- Active Non-Financial Entity
- Passive Non-Financial Entity

Please select an option if your organisation is a US tax resident and not a specified US person:

- A regularly traded corporation on a recognised stock exchange.
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange.
- A government entity.
- Any bank as defined in section 581 of the U.S. Internal Revenue Code.
- A retirement plan under section 7701(a)(37) or exempt organisation under section 501(a) of the U.S. Internal Revenue Code.
- OR any other exclusion

## 2. Details of contact person

Capacity/Position \_\_\_\_\_

Title  Dr  Mr  Mrs  Ms  Other (Please specify) \_\_\_\_\_

First name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Citizenship \_\_\_\_\_

Physical address \_\_\_\_\_

Village/Town/City \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ Country of birth \_\_\_\_\_  
(dd/mm/yyyy)

Omang / Passport Number (if foreign national): \_\_\_\_\_

Expiry date \_\_\_\_\_  
(dd/mm/yyyy)

If US Citizen, please provide your social security number \_\_\_\_\_

Email address \_\_\_\_\_

Telephone (office) \_\_\_\_\_

Mobile \_\_\_\_\_

Fax \_\_\_\_\_

### 3. Investor Banking Details

All fields are mandatory

Bank account name \_\_\_\_\_

Name of bank \_\_\_\_\_ Account number \_\_\_\_\_

Branch name \_\_\_\_\_ 6-digit branch code \_\_\_\_\_

Type of account  Current  Savings

### 4. Declaration of Controlling Persons

The Organization hereby confirms and declares that as at the date hereof, the following individual(s) is/are the ultimate beneficial owner(s) of the Organization through ownership in the intermediate or ultimate holding companies. Please input the details required in the spaces provided below, or if necessary, in a separate document to be attached.

Full Name	Physical Address	Date of Birth	Nationality	Controller Type	(%) of Ownership

### Anti – Money Laundering and Counter Terrorist Financing Requirements Check List

Before we can enter into a transaction with you, the Financial Intelligence Act of Botswana (2022) and the Financial Intelligence Regulations (2022) as well as the Non-Bank Financial Institutions Regulatory Authority (NBFIRA) requires that we verify both the identity of the Legal Entity, as well as the identities of all beneficial owners, controlling persons and authorised signatories associated with the Legal Entity.

We also require certain information from the legal entity and its beneficial owners, controlling persons and authorized signatories to establish residency, citizenship, countries of incorporation and/or operation and tax in order to perform regulatory reporting.

#### 1. Natural Persons

The following documents must be submitted for all beneficial owners and controlling persons.

- Certified copy of identity document (ID), e.g. Omang; or
- Certified copy of Passport (if foreign national).
- Proof of physical address

Please ensure that documents clearly show your Full names, Surname, ID number and issue date.

Please note that below are considered as Controlling Persons:

- Any member with a shareholding or Voting rights of 10% or more
- Directors
- Management
- Signatories
- Trustees

For Trusts, the following are considered as Controlling Persons:

- Settlers
- Founders
- Trustees
- Protector (if any)

**2. Companies****a. Public Listed Company**

- Certificate of incorporation
- Certificate of name change (if applicable)
- Proof of operating address
- Proof of banking details (stamped)
- Organogram showing ownership and control structure of the company.
- Directors Resolution of Authorised Signatories with specimen signatures on a company letterhead
- Proof of registration with BURS for income tax and VAT
- Tax exemption certificate (if applicable)
- Latest audited financial statements (if not available on BSE or company website)
- Confirmation of the nature of business (Regulatory licenses and /or AFS may be used)
- Company Constitution
- Form C- Completed by all signatories
- Form C- Completed by all directors.
- Form C- Completed by all shareholders with 10% shareholding or more.
- Proof of identity for all signatories (certified)
- Proof of identity for all directors (certified)
- Proof of identity for all shareholders with 10% shareholding or more
- Proof of residential address of all authorised signatories
- Proof of residential address of all directors
- Proof of residential address of all shareholders with a 10% shareholding or more

**b. Private Unlisted Company**

- Certificate of incorporation
- Certificate of Name change (if applicable)
- Proof of operating address
- Proof of banking details (stamped)
- Organogram showing ownership and control structure of the Private Company.
- Directors Resolution of Authorised Signatories with specimen signatures on a company letterhead
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Tax exemption certificate (if applicable)
- Latest audited financial statements
- Confirmation of the nature of the business. (Regulatory licenses and /or AFS may be used)
- Company constitution
- Form C - completed by all signatories
- Form C - completed by all directors
- Form C - completed by all shareholders with 10% shareholding or more
- Proof of identity for all authorised signatories (certified)
- Proof of identity for all directors (certified)
- Proof of identity for all shareholders with a 10% shareholding or more (certified)
- Proof of residential address of all authorised signatories
- Proof of residential address of all directors
- Proof of residential address of all shareholders with a 10% shareholding or more

**3. Close Corporations**

- Certificate of Incorporation
- Amended Certificate of Incorporation (if applicable)
- Proof of operating address
- Latest audited financial statements
- Proof of banking details (stamped)
- Ownership structure
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Proof of regulation (if applicable)
- Resolution of Authorized Signatories with specimen signatures
- Form C - completed by all signatories
- Form C - completed by all directors
- Form C - completed by all shareholders with 10% shareholding or more
- Proof of identity for all authorized signatories (certified)
- Proof of identity for all directors (certified)
- Proof of identity for all shareholders with a 10% shareholding or more (certified)
- Proof of residential address of all authorised signatories
- Proof of residential address of all directors
- Proof of residential address of all shareholders with a 10% shareholding or more

**4. Partnerships**

- Founding Statement and/or Partnership Agreement
- Proof of operating address for the Partnership
- Resolution of Authorized Signatories with specimen signatures
- Proof of registration and registration number of the partnership
- Proof of banking details (Stamped)
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Ownership/Partnership structure
- Proof of Identity of all Partners (certified)
- Proof of identity for all beneficial owners (certified)
- Proof of identity for all controlling persons (certified)
- Proof of identity for all authorised signatories (certified)
- Proof of residential address of all Partners
- Proof of residential address of all beneficial owners
- Proof of residential address of all controlling persons
- Proof of residential address of all authorised signatories
- Form C – completed by all Partners
- Form C – completed by all beneficial owners
- Form C – completed by all controlling persons
- Form C – completed by all authorized signatories

**5. Trusts****a. Inter Vivos**

- Certificate of registration with the Registrar of Trusts
- Trust Deed
- Proof of physical address
- Proof of banking details (stamped)
- Resolution of authorized signatories with specimen signatures
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Latest audited financial statements
- Statement of Accounts (AFS may be used)

**For Settlers, Founders, Trustees, Beneficiaries, Signatories and Protectors, please provide the following for each person:**

- Certified proof of identity
- Proof of physical address (recent utility bill)
- Proof of association with the trust
- Completed Form C

**b. Testamentary, Curatorship and Trusts by Court Order**

- Certificate of registration with the Registrar of Trusts
- Last Will and Testament or Trust Deed
- Letters of Authority (stamped by the Master of the High Court)
- Resolution of authorized signatories with specimen signatures
- Proof of banking details (stamped)
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Latest audited financial statements
- Statement of Accounts (AFS may be used)

**For Settlers, Founders, Trustees, Beneficiaries, Signatories and Protectors, please provide the following for each person:**

- Certified proof of identity
- Proof of physical address (recent utility bill)
- Proof of association with the trust
- Completed Form C

**6. Other Legal Entities**

- Proof of principal activities

**a. Unions, Associations, Medical Schemes, Clubs, Churches, etc.**

- Founding document or Constitution
- Proof of operating/physical address
- Proof of banking details (stamped)
- Members Resolution of Authorised Signatories with specimen signatures
- Proof of Identity of all persons authorised to act on behalf of the Legal Entity (certified)
- Proof of residential address for all persons authorised to act on behalf of the legal entity

**b. Motshelo**

- Founding Statement
- Proof of banking details (stamped)
- Members resolution of authorised signatories with specimen signatures
- Proof of Identity of all members of the Motshelo (certified)
- Proof of residential address of all members of the Motshelo
- Form C - completed by the Chairperson and all Authorised Signatories of the Motshelo

**7. Pension/Provident Funds**

- A copy of a registration document reflecting the Fund's Registration Number
- Resolution of Authorised Signatories with specimen signatures
- Proof of operating address
- Proof of banking details (Stamped)
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Confirmation of any beneficial owners with 10% or more of the fund
- Proof of Identity of all persons authorised signatories (certified)
- Proof of Identity of all Trustees to the Fund (certified)
- Proof of physical address of all authorised signatories
- Proof of physical address of all Trustees to the Fund
- Form C - completed by all authorised signatories
- Form C - completed by all Trustees to the Fund

**8. Government Entity**

- Act of Parliament
- Certificate of name change (if applicable)
- Proof of operating address
- Proof of banking details (stamped)
- Directors Resolution of Authorised Signatories with specimen signatures
- Proof of registration with BURS for Income tax and VAT
- Latest audited financial statements
- Proof of registration with BURS for Income tax and VAT (if applicable)
- Proof of tax exemption (if applicable)
- Proof of identity of all authorised signatories
- Proof of identity of all directors
- Proof of physical address of all authorised signatories
- Proof of physical address of all directors
- Form C - completed by all authorised signatories
- Form C - completed by all directors

**9. Discretionary Financial Services Providers and Brokers****a. Onboarding a Broker / Financial Services Provider**

- Certificate of incorporation / Certificate of registration
- Proof of banking details (stamped)
- A copy of brokerage license and Annexures reflecting the Broker/FSP number
- Resolution of Authorised Signatories for the Broker/FSP with specimen signatures
- Proof of Identity of all persons authorised to act on behalf of the Broker/FSP
- Proof of residential address of all persons authorised to act on behalf of the entity

**10. We may require additional documents if:**

- You are not a Botswana citizen or Botswana registered entity
- We are unable to verify your information
- You are tax resident outside of Botswana

**a. These may include:**

- Proof of physical/operating address
- Proof of banking details (stamped)
- Proof of source of funds

**11. Documents that we accept as proof of address:**

- Utility bill in the entity's name (Council Rates and Taxes, Water, Electricity)
- Telecommunications contract statement in the entity's name
- Wi-Fi provider statement in the entity's name
- Letter from the Rental company on a letterhead (stamped)
- BURS document (excluding assessments or e-filing documents) which displays physical address.
- Copy of lease or rental agreement which displays physical address (it is acceptable to only accept the first and last page of the lease agreement if the lease period & address is reflected on these pages)
- Police Affidavit
- A letter from the company secretary (stamped)

## Declaration and Signature

I certify that the information i have provided above is true and correct.

Name of Authorised Signatory	Date	Capacity
_____	_____	_____
	(dd/mm/yyyy)	
Authorised Signature		
_____		
Name of Authorised Signatory	Date	Capacity
_____	_____	_____
	(dd/mm/yyyy)	
Authorised Signature		
_____		
Name of Authorised Signatory	Date	Capacity
_____	_____	_____
	(dd/mm/yyyy)	
Authorised Signature		
_____		
Name of Authorised Signatory	Date	Capacity
_____	_____	_____
	(dd/mm/yyyy)	
Authorised Signature		
_____		

### FOR OFFICE USE ONLY

Checked by	Received by	Reviewed by
_____	_____	_____
Name & Signature	Name & Signature	Name & Signature

## Disclaimer

Collective investment schemes are generally medium to long-term investments. Please note that past performances are not necessarily an accurate determination of future performances, and that the value of investments / units / unit trusts may go down as well as up. A schedule of fees and charges and maximum commissions is available from Bifm Unit Trusts (Pty), a registered and approved Manager in Collective Investment Undertakings (CIUs) in Botswana. Additional information of the proposed investment, including brochures, application forms and annual or quarterly reports, can be obtained from the Manager, free of charge. Collective investments are calculated on a net asset value basis, which is the total market value of all assets in the portfolio including any income accruals and less any deductible expenses such as audit fees, brokerage and service fees. Actual investment performance of the portfolio and the investor will differ depending on the initial fees applicable, the actual investment date, and the date of reinvestment of income as well as dividend withholding tax. Forward pricing is used. The Manager does not provide any guarantee either with respect to the capital or the return of a portfolio. The performance of the portfolio depends on the underlying assets and variable market factors. International investments or investments in foreign securities could be accompanied by additional risks such as potential constraints on liquidity and repatriation of funds, macro-economic risk, political risk, foreign exchange risk, tax risk, settlement risk. Bifm Unit Trusts (Pty) Ltd is regulated by the Non-Bank Financial Institutions Regulatory Authority (NBFIRA). Prospectuses for the Funds may be viewed at the Bifm Unit Trusts (Pty) Ltd offices plot 66458, Fairgrounds Office Park, Block A, Ground Floor.

# Form C

## Additional information required for KYC



### Important information

- This form must be completed by all parties stated in the Application Form.
- Each person is required to complete the sections below. In the event that more than one page is required, copies of this section can be made and must accompany the fully completed application form.
- Documents must be provided as stated in the Application Form.

### Personal details

Title  Dr  Mr  Mrs  Ms  Other (Please specify) \_\_\_\_\_

First name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Capacity \_\_\_\_\_

Residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (dd/mm/yyyy) Country of birth \_\_\_\_\_

Omang / Passport Number (if foreign national): \_\_\_\_\_

Expiry date \_\_\_\_\_ (dd/mm/yyyy)

Country of issue \_\_\_\_\_

If US Citizen, please provide your social security number \_\_\_\_\_

Email address \_\_\_\_\_

Contact number(s) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered tax payer of any country other than your primary country of residence?  Yes  No  
If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number

OR

Reason Tax Number not Applicable

### Declaration and signature

I certify that the information I have provided above is true and correct.

Authorised signatory \_\_\_\_\_

Date signed \_\_\_\_\_ (dd/mm/yyyy)

Authorised signatory acting on behalf of the Legal Entity.