

MORULA UMBRELLA FUND – NEW INVESTOR APPLICATION FORM



New Investors are required to complete all relevant sections of this form and send the completed form along with required KYC documents and attachments to unittrusts@morula.co.bw

1. INVESTOR DETAILS

Select the Option Applicable:

<input type="checkbox"/>	New Investor	<input type="checkbox"/>	Existing Investor
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If you selected Existing investor, please complete only section 3 and 5 below)

Entity Name:	
Title:	Date of birth:
First Names:	Surname:
Registration No/ID No/Passport No (if foreign national):	
Physical Address:	
Postal Address:	
Telephone No:	Mobile Number:
Fax Number:	Email:
Income Tax Number:	VAT Number:

Investor Type:

Individual:	<input type="checkbox"/>	Listed Company:	<input type="checkbox"/>
Trust:	<input type="checkbox"/>	Pension Fund:	<input type="checkbox"/>
Sole Proprietor:	<input type="checkbox"/>	Insurance Company:	<input type="checkbox"/>
Private Company:	<input type="checkbox"/>	Partnership:	<input type="checkbox"/>

Preferred means of communication:

Email	<input type="checkbox"/>	Postal	<input type="checkbox"/>
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Botswana Resident:

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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If NO, please specify your country of residence:

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2. BENEFICIAL OWNER/BENEFICIARY

Are you the Beneficial owner or signing on behalf of a third party?:
Full Names of Beneficiary or party you are representing:
Nationality:
Identity Document number/Passport number:
Postal Address:
Occupation:
Telephone Number:
Email Address:

(Attach proof of authority to act on behalf of party you are representing as well as their KYC documents)
Beneficial owner means the natural person who ultimately owns/controls a customer and /the natural person on whose behalf a transaction is being conducted.

3. NEXT OF KIN

Next of Kin Full name:
Next of Kin Residential address:
Nationality:
ID Number:
Postal Address:
Email:
Contact numbers:

(Please note that it is your responsibility to keep us updated as and when there are changes to the next of kin details)

4. TAX INFORMATION

As part of Morula Capital Partners Management Company’s obligation to comply with the U.S Foreign Account Tax Compliance Act (FATCA), we require you to provide us with your tax information where applicable. This information will only be disclosed to the relevant tax authorities if and when required as per the FATCA regulations.

A. ARE YOU A U.S CITIZEN OR NATIONAL OR ARE YOU A RESIDENT IN THE U.S FOR TAX PURPOSES

YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
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If you selected YES above, please submit the applicable United States Internal Revenue Services (IRS) forms. If you have selected ‘NO’, you are not required to submit any IRS forms

B. ARE YOU A U.S ENTITY OR IS YOUR ENTITY RESIDENT IN THE U.S FOR TAX PURPOSES

YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
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If you selected YES above, please submit the W-9 United States Internal Revenue Services (IRS) form. If you have selected ‘NO’, please submit the W-8BEN-E United States Internal Revenue Services form.

5. INVESTMENT DETAILS

Select relevant payment Type:

Lump-sum	<input type="checkbox"/>	Recurring Debit Orders	<input type="checkbox"/>	Both Lump sum and Recurring Debit Order	<input type="checkbox"/>
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Note: All payments have to be made directly to the bank account. We do not accept cash.

Source of Funds:

Salary	<input type="checkbox"/>	Savings	<input type="checkbox"/>	Bonus	<input type="checkbox"/>	Other	<input type="checkbox"/>
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If salary, please tick corresponding salary range/month.

P0 – P5,000	<input type="checkbox"/>	P5,001 –P10,000	<input type="checkbox"/>	P10,001 – P50,000	<input type="checkbox"/>	P50,001 and above	<input type="checkbox"/>
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Occupation:	Industry:
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If other, please provide further details:

Note: Your investment may earn income distributions (interest and/or dividends). We will automatically reinvest income distributions earned on your investments, which means you will receive additional units.

Total Lump sum Investment Amount:	Debit Order Amount:
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MORULA UMBRELLA FUND – NEW INVESTOR APPLICATION FORM



Fund Name	Prescribed Minimums Investment Amounts	Class	Lump sum Amount	Debit order Amount
Morula Cash Plus Fund	P1,000 lump sum or P200 per month			
Morula Bond Fund	P500 lump sum or P200 per month			
Morula Inflation Plus Fund	P500 lump sum or P200 per month			
Global Balanced Fund	P500 lump sum or P200 per month			
Morula Global Absolute Return Fund	P1,000 lump sum or P200 per month			
Morula Income Fund	P500,000			
Morula Local Equity Fund	P500,000			
TOTAL				

DEBIT ORDER AUTHORITY

Commencement Date:

Preferred Collection Date: 1st of every month 25th of every month

Note: Debit order collection frequency will be monthly.

6. BANKING DETAILS

Account Holder Information

Account Name:

Account Number:

Bank:

Branch Code:

Type of Account:

Is the above account the account of the investor: Yes No

If "No" Please include:

- Copy of ID / Passport of an individual account holder
- Copy of ID / Passports of authorised parties on the account for legal entities

MORULA UMBRELLA FUND – NEW INVESTOR APPLICATION FORM



1. You hereby instruct and authorise the Administrator to collect the amount on the frequency noted above from your bank account specified above in this application form. Furthermore, you understand that should your preferred collection date fall on a Saturday, Sunday or Public Holiday, the amount will be debited the first working day thereafter.
2. You understand that you may cancel this authority by providing written notice 15 working days prior to your preferred collection date.
3. You agree to pay any bank charges and costs relating to this debit order authority. You declare that all funds invested are not the proceeds of unlawful activities.
4. You acknowledge that the party hereby authorised to effect the drawing (s) against your account may not cede or assign any of its rights to any third party without your prior written consent and that you may not delegate any of your obligations in terms of this contract / authority to any third party without prior written consent of the authorised party.
5. Should you wish to withdraw your investment it's important to note that debit orders have a 45 calendar day clearance period.

Signature of Account Holder:

Date:

7. INVESTOR DECLARATION & AUTHORITY

1. I / We have read, understood and agree to be bound by the provisions of this application form.
2. I / We understand / warrant / confirm that:
 - The information contained herein is correct, and that, if this application form is signed in a representative capacity, I / we have the necessary authority to do so and that this transaction is within my / our powers;
 - The Manager (being Morula Capital Partners Management Company) reserves the right to request any additional evidence to identify the source of this investment;
 - The Manager shall, at its discretion, have the option to pay or collect any amount (provided that I / we owe this amount to the Manager) through the Automated Clearing Bureau or Electronic Funds Transfer, or by direct debit or credit against my / our bank by means of a debit or credit note addressed to my / our bankers. Any amounts so received by the Manager will be deemed not to have been received by the Manager and no transaction in respect of such application may be made until the amount of the debit order, cheque or EFT payment has been unconditionally credited to the Manager account with its bankers;
 - Any variations to the terms of this agreement made by me / us will only be binding if accepted in writing by the Manager. No act or omission will be construed as an acceptance of a variation to this agreement;
 - All monies deposited in the applicable Nominee Trust account for this investment, were obtained from legitimate sources. I / We further warrant that I / we have complied and will continue to comply with all relevant legislation, including, but not limited to money laundering and income tax legislation;
 - This application, requirements schedule and all the information contained therein shall form part of our contract with the Manager.
3. I am / We are acting for my/our own account and that I/we have made my/our independent decisions to enter into the investment and as to whether the investment is appropriate or proper for me/us, based upon my/our own judgment, and upon advice from such advisors as I/we may deem necessary. I/we warrant that I am/we are not relying on any communication from the Manager, whether written, oral or implied as investment advice or as a recommendation to enter into the investment. I/We understand that information and explanations relating to the terms of an investment shall not be considered investment advice or a recommendation to enter into the investment. I/we warrant that I/we have not received from the Manager any assurance or guarantee as to the expected return on this investment; I/we indemnify and hold the Manager harmless against any claim of whatsoever nature, which I/we may have resulting from conducting business telephonically, via the online services (including e-mail), or by way of facsimile. I/We hereby consent to the Manager taking any security precautions it may deem necessary for it to proceed with my/our application.
4. I /We understand that I/We be acting on behalf of the investor, I / We warrant that I / we am / are legally entitled to do so. Furthermore, both the investor and I / we indemnify the Manager from carrying out instructions submitted by me /us in relation to this investment.
5. I/We indemnify the Manager for the security of information sent by e-mail at my/our request, for the proper and complete transmission of the information contained in the communication and for any delay in its receipt.
6. I/We authorise the Manager to accept instructions by facsimile or e-mail and hereby waive any claim that I/we may have against the Manager and indemnify the Manager against any loss incurred as a result of the Manager receiving and/or acting upon such communication. The Manager will not be held responsible for any failure, malfunction or delay of any networks or electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of application and/or transactions. The Manager will not be liable to make good or compensate any Investor or third party for any damages (whether direct or consequential), losses, claims or expenses resulting there from. The Investor or any third party indemnifies the Manager accordingly.
7. The Manager's complaints procedure is available on request.
8. I/We have fully read and understood the Unit Trust Prospectus and the documents it refers to (which are available from the Manager) for the Fund's that are being invested into; and bind ourselves to their terms and procedural conduct.

MORULA UMBRELLA FUND – NEW INVESTOR APPLICATION FORM



9. The Local Tax Authority, Botswana Unified Revenue Services requires where applicable that the Manager pay WHT where applicable on your behalf. The Manager will deduct this tax before it pays any interest or re-invests into your investment account.
10. Do you consider yourself to be a PEP? (Politically Exposed Person (PEP) is someone who has been entrusted with a prominent public function, or an individual who closely related to such person.)

YES		NO	
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If yes, please provide more details:

11. I/We understand and agree to pay all the charges and Manager's fees applicable to this investment which I have read and understood from the Unit Trust Prospectus.
12. I/We understand that until the Manager has received all necessary documentation and monies, the investment will not commence.
13. I have not received advice from the Manager or any of its representatives regarding this investment.

Signed at (Place):

Date:

Signature of Investor (if an individual):

For Corporate Entities

Full name and Signature of Authorised Signatories:

Signature:

Signature:

Name:

Name:

Corporate Stamp:

Note: For corporates entities, please attach a copy of the official signatories resolution of the entity

8. MORULA UMBRELLA FUND BANK DETAILS

It is important that transfers are made only to the official bank account of the Morula Umbrella Fund as provided below. If anybody provides any other banking details, then you should immediately contact either the Trustee or the Regulator.

Irrespective of the sub-fund CIU's being invested into (local or international), investors must send only to the following account in Pula.

Internally the Trustee and Manager will then arrange for transfers to occur so that funds are recorded and held in custody against each separate sub fund CIU. Where necessary they will convert from Pula to US Dollars.

Account Name: Morula Umbrella Fund
Account No: 628 944 087 67
Bank: First National Bank Botswana
Branch Name: Corporate
Branch Code: 287 867
Swift Code: FIRNBWGX

Note: Proof of payment must be submitted after funds have been deposited in the account above.

AML/CFT DOCUMENTATION REQUIREMENTS

Please note that the following documents are not the entire documents we may request. Based on our internal policy we may require further information

ENTITIES

- Certificate of Incorporation
- Latest audited financial statements / proof of source of funds
- Updated list of board of directors if there are any additions, their most recent certified copies of
- Confirmation of authorised signatories list, with signature specimens, their certified copies of ID, proof of residence and postal address. (Template provided)
- Company /Entity Resolution to invest.
- Tax identification number and VAT number
- Proof of bank account
- Beneficial owner/Trustee/Senior Management officials (attach certified identity documents and proof of residence for each natural person)
- Proof of residential address

NATURAL PERSONS

- Certified copy of National ID for citizens/Certified copy of Passport for non-citizens (Certified copies should be less than 3 months)
- Proof of residential address
- Proof of source of Funds
- Proof of Banking details
- Details of employer/business