



This form is an application to ASISA to classify a collective investment scheme in securities portfolio (CIS portfolio) in terms of the **ASISA Standard on Fund Classification for South African Regulated Collective Investment Scheme Portfolios** ('**ASISA Fund Classification Standard**'). The ASISA Fund Classification Standing Committee under the Investments Board Committee will consider the application.

The completed form and the required supporting documents and/or information must be emailed to **FClassification@asisa.org.za**. Please refer to the **ASISA Guideline on the Completion of the Fund Classification Application**.

<b>PORTFOLIO NAME:</b>				
<b>TYPE OF PORTFOLIO:</b> (✓)	Standard		Standard (Index Tracker)	
	Feeder Fund		Money Market Fund	
	Fund of Funds		Hedge Fund	
<b>PORTFOLIO EVENT:</b> (✓)	New portfolio - not part of amalgamation		New portfolio – part of amalgamation	
	Change of name – not part of amalgamation		Change of name – part of amalgamation	
	Re-classification		Other amalgamation	
	Change to the structure, portfolio objective, investment policy or CIS Manco restrictions			
	Notification of a change in benchmark			
<b>PORTFOLIO INCEPTION DATE:</b>	<i>{Insert the date on which the portfolio was first made available for investment}</i>			
<b>EFFECTIVE DATE OF CURRENT PORTFOLIO EVENT:</b>	<i>{Insert the date}</i>			
<b>HISTORY OF PREVIOUS PORTFOLIO CHANGES:</b>	<p>Please refer to <b>paragraph 1 of the Guideline on the Completion of the Fund Classification Application</b>.</p> <p>List the dates of portfolio events and briefly describe the event, e.g.:</p> <p>Date: Approval of classification of new portfolio.</p> <p>Date: Change of structure, portfolio objective, investment policy or CIS Manco restrictions with retention / loss of performance history (track record).</p> <p>Date: Change of Classification with retention / loss of track record.</p>			



	<p><i>Date: Change of name with retention / loss of track record.</i></p> <p><i>Date: Amalgamation of portfolios with retention / loss of track record.</i></p>
<b>PORTFOLIO OBJECTIVE:</b>	<p><i>Please refer to <b>paragraph 2 of the Guideline</b> on the Completion of the Fund Classification Application. Describe the Investment Objective in a clear and simple paragraph. It must correspond with the overarching investment policy in the Supplemental Deed and the information included in the Minimum Disclosure Document required in terms of CISCA Board Notice 92 of 2014.</i></p>
<b>INVESTMENT POLICY (Supplemental Deed):</b>	<p><i>Please refer to <b>paragraph 3 of the Guideline</b> on the Completion of the Fund Classification Application. Quote the relevant paragraph(s) from the FSB-approved Supplemental Deed which describe(s) what types of investments may be included in the portfolio (investable universe) and/or how the investments in the portfolio will be managed.</i></p>
<b>PORTFOLIO BENCHMARK:</b>	<p><i>Please refer to <b>paragraph 4 of the Guideline</b> on the Completion of the Fund Classification Application. Clearly identify and describe the benchmark of the portfolio. Include tickers/codes of exchange benchmarks to identify the specific price/total return index. For example: FTSE/JSE Allshare Index (J203T).</i></p>
<b>CIS MANCO RESTRICTIONS:</b>	<p><i>Please refer to <b>paragraph 5 of the Guideline</b> on the Completion of the Fund Classification Application. Describe/list internal restrictions applied by the CIS Manco <u>in addition to</u> (i.e. don't duplicate) restrictions contained in the Supplemental Deed and the restrictions applicable to the Classification Category.</i></p>
<b>ASISA CLASSIFICATION:</b>	<i>{Include the classification category}</i>
<b>CIS MANCO:</b>	<i>{Include the name of the CIS Manco submitting the application}</i>
<b>CIS MANCO AUTHORISED PERSON:</b>	<i>{Include the name of the person authorised by the CIS Manco to submit the application on behalf of the CIS Manco}</i>
<b>DATE OF APPLICATION:</b>	<i>{Include the date on which the application is submitted}</i>

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<b>DATE OF APPROVAL BY ASISA FUND CLASSIFICATION STANDING COMMITTEE:</b>	<i>{CIS Manco to insert date of approval as communicated by ASISA}</i>
<b>PERFORMANCE HISTORY (TRACK RECORD):</b>	<i>{CIS Manco to insert "Retained" or "Lost" as communicated by ASISA or "Not applicable"}</i>



<b>DATE OF ASISA FUND CLASSIFICATION STANDING COMMITTEE NOTING A BENCHMARK CHANGE:</b>	<i>{CIS Manco to insert date, as communicated by ASISA, on which ASISA Fund Classification Standing Committee is notified of benchmark change}</i>
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**OTHER INFORMATION:** *{This information is not required for the purpose of the classification of a portfolio but may be required by ASISA, a data vendor, information agency and/or statistics collector}*

<b>INVESTMENT MANAGER:</b>	<i>{Name(s) of natural person(s) managing the portfolio and name of FAIS Category II Financial Services Provider (investment management company)}</i>	
<b>RETAIL INVESTORS:</b>	<i>{As per the ASISA Statistics Standard, CIS portfolios are classified as retail when the investor details are registered with the Scheme.}</i>	<i>{Yes / No}</i>
<b>INSTITUTIONAL INVESTORS:</b>	<i>{As per the ASISA Statistics Standard, CIS portfolios are classified as institutional when the nominee/bulk account is registered with the Scheme and the investor details participating in the bulk investment are registered with the Administrator of the nominee/bulk account. An institutional portfolio typically has no retail fee class and no retail investors, for example a building block for a multi-manager fund of funds.}</i>	<i>{Yes / No}</i>
<b>Performance measurement:</b>	Are annual management and/or performance fees deducted from the portfolio before (net basis) or after (net basis) the portfolio performance is measured against the benchmark?	<i>{Gross/Net}</i>
<b>Performance fees:</b>	Are performance fees charged to the portfolio?	<i>{Yes / No}</i>

PLEASE ENSURE THAT THE REQUIRED SUPPORTING DOCUMENTS AND/OR INFORMATION ARE SUBMITTED TOGETHER WITH THE FUND CLASSIFICATION APPLICATION.

A summary of the requirements is included in the **ASISA Guideline on the Completion of the Fund Classification Application.**

**Note:** The form of 1 March 2022 is an update of the form that became effective on 23 May 2017.