



Hedge Funds Application Form

Retail Hedge Fund Scheme

(new non-individual investors only)

Submit the completed form and supporting documents to:

E-mail forms@sanlamhedgefunds.com

If you have any questions, contact us on:

Tel +27 (21) 916 6910

E-mail service@sanlamhedgefunds.com

- ☐ I confirm that I have read and understood the Minimum Disclosure Documents prior to investing in the Sanlam Collective Investments Retail Hedge Fund Scheme
- ☐ I confirm that I have read and understood the Upfront Disclosure Documents prior to making this investment.
- ☐ Your investment instruction is subject to our [Terms and conditions](#). The personal information collected is also subject to our Privacy statements. If you provide us with the personal information of other persons, you warrant that you have the necessary consent or other justification to do so.

Important information

- Any writing/instruction outside of the allocated fields will not be processed.
- When we refer to the investor, we mean the 'legal owner'.

1. Investor details *(all fields are compulsory)*

Please note: the following details must be completed in the name of the registered legal entity, regardless of who the payer is.

Registered name of legal entity _____

Trading name _____

(only complete if different from registered name)

Entity registration number _____ (15 digits)

Country of incorporation _____ Date of incorporation _____ (ddmmccyy)

Nature of business _____

Company email address _____

This email address will be used to communicate with to the business

Please confirm if any stakeholder, beneficial owner, controlling person or authorised representative linked to this legal entity holds the position of a Foreign Prominent Public Official or Domestic Prominent Influential Person during the past 12 months Yes ☐ No ☐

An individual who has been entrusted with a prominent public function, for example senior government officials, ministers, politicians, judicial or military officials, senior executives of state-owned corporations, Head of State, minister or senior executive of a state-owned entity. You are also considered a politically exposed person if you are a family member or close associate of the above

Type of entity

- | | |
|--------------------------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Linked Investment Service Provider | <input type="checkbox"/> Fund of Fund |
| <input type="checkbox"/> Trust Companies | <input type="checkbox"/> Private Trusts |
| <input type="checkbox"/> Pension and Provident Funds | <input type="checkbox"/> Insurers |
| <input type="checkbox"/> Domestic Unit Trust | <input type="checkbox"/> Foreign Unit Trust |
| <input type="checkbox"/> Household Sector | <input type="checkbox"/> Non-Resident |
| <input type="checkbox"/> Local Government | <input type="checkbox"/> Medical Scheme |
| <input type="checkbox"/> Banks | <input type="checkbox"/> Other non-bank financial institutions |
| <input type="checkbox"/> Public sector financial corporations | <input type="checkbox"/> Public sector non-financial corporations |
| <input type="checkbox"/> Private sector non-financial corporations | |
| <input type="checkbox"/> Finance Companies | |

Registered address _____

Country _____ Postal code _____

Postal address
(only complete if different from registered address) _____

Country _____ Postal code _____

Operating address
(only complete if different from registered address) _____

Country _____ Postal code _____

Source of income*Please specify the entity's regular source of income*

- | | | | |
|------------------------------------------------|-----------------------------------------|-------------------------------------|----------------------------------------------|
| <input type="checkbox"/> Company profits | <input type="checkbox"/> Sale of shares | <input type="checkbox"/> Investment | <input type="checkbox"/> Corporate Dividends |
| <input type="checkbox"/> Other (Specify) _____ | | | |

Beneficial Owners and Controlling Persons

Please provide details of the **beneficial owners / controlling persons** below. Each beneficial owner / controlling person needs to complete a Form C and provide copies of their identity documents.

Full Name _____ Capacity _____

Full Name _____ Capacity _____

Full Name _____ Capacity _____

Full Name _____ Capacity _____

Full Name _____ Capacity _____

Full Name _____ Capacity _____

Details of contact person

Title _____

Full name(s) _____

Surname _____

Date of birth _____ (ddmmccyy) Country of birth _____

Email address _____

| Contact numbers | International dialling code | Area code | Number |
|--------------------------------|-----------------------------|-----------|--------|
| Telephone (office) | | | |
| Telephone (alternative office) | | | |
| Cell/Mobile | | n.a. | |

2. Investor classification (only the following parties need to complete this section)

Please mark the applicable option with an "X", complete where necessary

- ☐ Sanlam
- ☐ Institutional
- ☐ Fund of Funds
- ☐ Sanlam Private Wealth (SPW): Portfolio Managers BDA number: _____
- ☐ Other

3. Investment fund details

Please select the fund(s) you would like to invest in and indicate the amount you would like to invest.

Please review the full list of funds with the applicable fund minimums and fees, please refer to the [Minimum Disclosure Document](#).

* If you do not specify a fund class, your investment will be allocated to a default class

| Retail Investor Hedge Fund(s) | Class* | Investment Amount (your intended deposit) | Income distribution | |
|-------------------------------|--------|----------------------------------------------|---------------------|---------|
| | | | Reinvest | Pay-out |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Once off investments require a 15-day clearance period. Funds cannot be accessed if not been cleared by the bank.

4. Payment Instruction

4.1 You pay via an Electronic Fund Transfer (EFT)

☐ Lump sum deposit

- To comply with regulatory requirements, the Financial Intelligence Centre Act requires is to identify and verify you before investing your funds.
- Once this is complete, we will provide you with our Sanlam Collective Investment's bank details to make your payment.
- Your Hedge Fund Account Number is required as your deposit reference number.
- We will provide the Hedge Fund Account Number and banking details to you within 2-3 days.
- Please submit proof of payment to forms@sanlamhedgefunds.com
- Once your EFT deposit reflects in our bank account and you have provided us with proof of payment, we will process the investment.
- Payments can be made via Electronic Fund Transfers: These may take up to two days to reflect in our bank account, which may result in a delay.
- Debit orders are not available for this product.
- We do not accept cash deposits
- All deposits must be in South African Rand or we will return your funds

5. Source of funds for this investment

Please advise where the funds for this investment come from:

Source of funds (please specify): _____

6. Investor banking details

The banking details specified will be used for

- Disinvesting
- Income distribution payments
- Payments cannot be made to third parties.
- We will only make payments into the account of the registered investor.
- We are unable to make payments into credit cards, money market, bond accounts or policies.

Bank account holder _____

Identity / Entity registration number _____

Name of bank _____

Account number _____

Name of branch _____

Branch code _____

Type of account: Current ☐ Savings ☐

I / we here by confirm that the banking details above is correct.

Signature of bank account holder _____ Date _____ (ddmmccyy)

Authorised signatory on bank account _____ Date _____ (ddmmccyy)
(If applicable)

Authorised signatory on bank account _____ Date _____ (ddmmccyy)
(If applicable)

7. Investor interaction preference

I want to receive marketing information

Yes ☐ No ☐

Ways to manage and track your investment

We will send you all your investment correspondence to the email which you provided.

In line with Sanlam's responsibility towards the environment, we will no longer send postal statements. If post is your only means of receiving correspondence, please contact our Service Centre.

8. Self-Certification (Tax status)

We require this information in order to report to the South African Revenue Services (SARS) for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) as per the Automatic Exchange of Information (AEOI) for International tax compliance.

Primary country of residence for tax purposes: _____

Tax Identification Number _____

If your primary country of tax residency is South Africa, are you registered for Value-Added Tax (VAT)? Yes ☐ No ☐

If "Yes", please supply your VAT number: _____

Are you a registered taxpayer 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 |
|--------------------------|---------------------------|----|----------------------------------|
| | | | |
| | | | |
| | | | |

9.1 Organisation's classification for Global Tax reporting purposes

It is mandatory to classify yourself in this section. For guidance please refer to the Legal Entities Tax Residency Classification for FATCA and CRS document, available at www.sanlaminvestments.com. Alternatively, speak to your tax adviser.

If your organisation is a Financial Institution, please specify which type:

- ☐ South African Financial Institution or a Partner Jurisdiction Financial Institution
- ☐ 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 South African registered retirement scheme, a South African 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).

Please supply GIIN number: _____

Please note: If the legal entity has a GIIN number then the tax number for the Controlling Persons (CPs) are not required. FATCA only requires the information (including tax number) of the CPs where the entity is a Passive Non-Financial Entity.

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

- ☐ Active Non-Financial Entity.
- ☐ Passive Non-Financial Entity (*Please complete form C for Controlling Persons*).

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 organization under section 501(a) of the U.S. Internal Revenue Code.
- ☐ OR any other exclusion.

9.2 Organisation's classification under Common Reporting Standard (CRS)

Please select one with reference to the primary country of residence:

- ☐ Financial Institution under CRS (this includes all Non-Reporting Financial Institutions for example a pension scheme, government entity and international organisation).
- ☐ An investment entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, *please complete Form C for Controlling Persons* (natural persons only) in respect of any Controlling Persons).
- ☐ Active Non-Financial Entity, which frequently trades on an established securities market or associated with, an established securities market or a corporation which is a related entity of such a corporation.
- ☐ Active Non-Financial Entity - a Government Entity, a Central Bank or an International Organisation.
- ☐ Active Non-Financial Entity, other than those listed above (for example a start-up Non-Financial Entity or a Non-profit Organisation).
- ☐ Passive Non-financial entity (*Please complete Form C for Controlling Persons*).

10. Withholding tax status

Some beneficial owners of dividends are entitled to an exemption (local and/or foreign persons) or a reduced rate (foreign persons) provided the required declaration and undertaking are submitted to the company or withholding agent

I qualify for a Dividends tax exemption, Dividends tax reduced rate or Withholding tax on Interest

in terms of the Income Tax Act.

Yes ☐ No ☐

If "Yes", please complete a *Dividends tax exemption DTD(EX)*, *Dividends tax reduced rate DTD(RR)* or *Withholding Tax on Interest Declaration Form (WTI)* form, available on our website www.sanlaminvestments.com

11. Terms and conditions

Sanlam Group is a full member of the Association for Savings and Investment SA (ASISA).

11.1 About Hedge Fund Unit Trusts

- When you invest in a hedge fund unit trust (also called a collective investment scheme), your money is pooled with the money of other investors. This pool of money is used to buy a portfolio of assets, such as shares (equities), bonds or listed property. As an investor, the value of the units you own is calculated by taking the number of units you own and multiplying them by the latest ruling price per unit. Forward pricing is used. Details of what each fund invests in, as well as its risk profile and other disclosures that may be applicable to the fund, are specified in the Minimum Disclosure Documents.
- The price per unit goes up and down according to the value of the underlying assets in the relevant portfolio. Neither your capital nor the return of your investment is guaranteed for any hedge fund unit trust fund investment. For information on unit trusts, hedge funds and how they work, along with our full range of funds and the relevant Minimum Disclosure Documents and Upfront Disclosure Documents, please visit our website at www.sanlamhedgefunds.com alternatively you can call us on +27 (21) 916 6910.
- When you complete this form, you apply to buy units in the hedge funds of your choice in line with the Trust Deed and mandate of the relevant funds. The Minimum Disclosure Documents and Upfront Disclosure Documents explain how each fund invests and what applicable fees will be charged.
- Unit trusts are generally medium to long-term investments. Past performance is not necessarily a guide to future performance. Unit trusts are traded at ruling prices and may engage in borrowing and scrip lending. Unit trust prices are calculated on a net asset value basis, which is the total value of all assets in the portfolio, including any income accrual, less any permissible deductions from the portfolio and divided by the units in the portfolio.
- If funds are deposited on a Saturday, Sunday or public holiday, investors will receive the value of the next available price.
- A fund of hedge funds is a portfolio that invests in portfolios of collective investment schemes, which levy their own charges. This could result in a higher fee structure for the fund of hedge funds.
- Sanlam Collective Investments takes full legal responsibility for the co-branded portfolios.
- Portfolios that invest in international investments, or investments in foreign securities, could be accompanied by additional risks as well as potential limitations on the availability of market information.
- Income payment(s) will only be paid out to a client's bank account if the investment transaction used to purchase units have been cleared by the bankers on the income reinvestment date. If the units have not cleared, income payment(s) will automatically be reinvested.
- You may not trade your units in a manner prejudicial to other investors. Certain practices may have a prejudicial effect on other investors in a fund. We may monitor your account for patterns of trading and transactions sizes for practices such as market timing, which is an arbitrage method where an investor systematically purchases and sells units within a short time period taking advantage of imperfections in the determination of the net asset value of funds. These practices are not acceptable as it affects the performance of the funds through an increase in costs or a dilution of profits caused by the increase in trading. We therefore expressly reserve our rights to reject instructions for switches from an investor where we have reason to believe that the investor is engaging in such practices so as to ensure that we can take the necessary steps to protect other investors in the funds.

11.2 Fees and charges

- A schedule of fees and charges and maximum commissions is available on the Minimum Disclosure Documents and Upfront Disclosure Documents:
 - The following charges are levied against the portfolio: brokerage, auditors' fees, performance fees, service fees, applicable taxes, custodian fees, bank charges, trustees' fees and trailer fees (trailer commission is paid by Sanlam to financial advisers on a monthly basis; it forms part of the annual service charge, which is a fixed percentage per annum that is calculated and deducted daily from the accrued income in the portfolio).
 - These fees are charged to the client: Sanlam manager's fees as well as broker advice fees.
- Commission and incentives may be paid and if so, will be included in the overall costs.
- The fund manager may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- Obtain a personalised cost estimate before investing by visiting www.sanlaminvestments.com using our Effective Annual Cost (EAC) calculator. Alternatively, contact your adviser or phone us at 0860 100 266.
- The client will be liable for any bank charges incurred as a result of a deposit being rejected by the bank.
- Contained within the TER are expenses that relate to the investment management fee, the service costs and performance fee. Performance fees are calculated by comparing the annual return of the Fund and Performance Fee Benchmark which is set in the Fund Minimum Disclosure Documents. Performance fees will only be charged if the Fund return is in excess of the performance Fee Benchmark. All fees are accrued daily in the Net Asset Value (NAV) of the Fund

11.3 Transaction cut-off times

- We can only process your instruction once we have received the correct and accurately completed form and the required supporting documents. If an instruction is issued incorrectly, is unclear, incomplete, or if the supporting documents are not received by the cut-off time, the processing of the transaction will be delayed.
- Please make sure you send us your completed instruction (including supporting documents) before the transaction cut-off time. The SA business day transaction cut-off times for our funds are:
 - Daily 14:00 for all daily priced hedge funds
 - Last business day of month at 14:00 for all monthly priced Hedge Funds
- Your transaction will be priced using the ruling price of the fund for the day the transaction is processed i.e. the day we receive all of the required information if the fund is priced daily. For funds priced monthly, your transaction will be priced using the ruling price of the fund for the month in which the transaction is processed. Any loss will be for the investor's account.
- We don't pay any interest in the following circumstances:
 - money deposited for investment in a fund after the specified cut-off time,
 - money is deposited on a non-business day (that is, public holidays, Saturdays and Sundays). If a debit order collection date falls on a non-business day, we will collect it on next business day.
 - the deposit is made to the wrong account; or,
- The instruction is not complete.

11.4 Conflict of interest

All actual and potential Conflicts of Interest are managed, reported and disclosed in line with the Managers Conflicts of Interest and Outsourcing Policy which is available on request, or on the Sanlam website www.sanlamhedgefunds.com

11.5 Ownership, information security and instructions

- The legal owner of the investment is the person in whose name the investment is registered, regardless of who the payer is.
- We will only release information to, and act on instructions from, the investor, the authorised signatory or the appointed financial intermediary.
- We can only process your instructions once we have received the correct and accurately completed form and required supporting documents. If an instruction is issued incorrectly, is unclear, incomplete, or if the supporting documents are not received by the cut-off time, the transaction may be delayed. Any loss will be for the investors' account.
- We use an ordinary electronic signature process as contemplated in section 13(3) of the Electronic Communications and Transactions Act, 2002 for the signing of certain documentation, including where available, application forms. Where applicable, we will make details of the process, including how it works and the security protocols in place, available to you on our website or other means. By affixing your electronic signature to the Application Form you will agree to be bound by these terms and conditions and any and all amendments or variations thereto. By affixing your electronic signature to any other form of document from time to time, you will agree to be bound by the terms and conditions set out in that document. You warrant that you are the person affixing your ordinary electronic signature and that you will put in place reasonable measures to ensure that no other persons have access to your ordinary electronic signature. You also acknowledge that you are familiar with the risks of using ordinary electronic signatures as opposed to "wet ink" signatures and that you accept such risk. We may also, from time to time, make solutions available to you or your financial adviser whereby we can receive instructions via digital means (from you or your adviser). Before processing an instruction which we received in this manner, we will ask for your confirmation of the instruction. We will obtain your confirmation via digital means, for example by SMS. You agree that we may act upon instructions received via digital means, that you are familiar with the risks of transacting via digital means and that you accept such risk.
- We permit ring fencing for large withdrawals in terms of Notice 573 of the Collective Investment Schemes Act. Ring fencing is the separation of assets and the delayed sale of units in a unit trust fund. A large sale of units in a unit trust fund, above certain thresholds, may cause ring fencing. This ensures that the sale of large number of units will not force us to sell the underlying investments at a price in the market which could have a negative impact on other investors. If your sell instruction is affected by this ring fencing, we will contact you to discuss the process, where applicable

11.6 Unclaimed assets and how they affect you

- As a member of the Association for Savings and Investment SA (ASISA), we follow ASISA's Unclaimed Assets standard. An unclaimed asset is any unit trust investment on which there have been no transactions for ten years, or in the case of a deceased estate, more than three years have passed since we have received the notice of death. Our policy is to continue reinvesting all income distributions (interest) and redemption payments until the unit trust is sold, regardless of the time frame.
- According to ASISA's Unclaimed Assets standard, we follow a process of tracing investors or beneficiaries on any unclaimed assets. Any reasonable administrative and costs incurred to trace the investor may be recovered from the value of the portfolio, thereby reducing the value of your investment. Tracing will cease where the value of the unit trust investment is less than R1000 and the costs of tracing exceeds the benefit of tracing. More information on the ASISA Standard on Unclaimed Assets and the processes is available on www.asisa.org.za or from our client service centre on +27 (21) 916 6910.
- Please note that to prevent your investment becoming an unclaimed asset, it is your responsibility to inform us of any change in your personal information.

11.7 Update your details

It is your responsibility to keep us informed of any changes in your banking details, personal information or current identification information (e.g. change of address, change of surname and contact details). If any of your details have changed, you will need to complete an Investor Details Update form available from www.sanlamhedgefunds.com

11.8 Making changes to your investment

Unit trusts are a flexible investment option, which means that you can make changes to your investment as your personal circumstances change. This means you can change your fund selection, sell some or all of your units, and make additional investments. As changes to your investment could impact your original investment goals, please speak to your financial adviser or broker.

11.9 Complaints

We want to give you outstanding client service, but sometimes things go wrong. If you are dissatisfied with our service, or any of our products have disappointed you, we would like to hear about it. Please get in touch:

Telephone: +27 (21) 916 6910

E-mail: complaints@sci.sanlam.com

Complete a complaint form online at www.sanlamhedgefunds.com

Visit your nearest Sanlam office.

Your views are very important to us. When we receive your complaint, a competent team, specifically trained to handle and resolve complaints, will investigate it and try to resolve it as soon as possible in a fair manner.

If the complaint has not been resolved to your satisfaction, you may refer it to the Sanlam Arbitrator. The Sanlam Arbitrator is an impartial person that settles disputes between dissatisfied clients and Sanlam.

Sanlam Arbitrator contact details:

Fax: +27 21 957-1786

Email: arbitrator@sanlam.co.za

11.10 How we process your personal information

The Sanlam Privacy Statement

Your privacy is important to us. We will use personal information about you, your beneficiaries and dependents only in line with the Sanlam Privacy Statement. Our privacy statement applies to the processing of your personal information by us.

You consent to the processing of your personal information

By completing and signing an application form and/or investing with us, you consent to the collection and processing of your personal information. If you are investing on behalf of a minor child, you warrant that you are the competent person to consent on behalf of such child.

We mainly collect personal information about you to offer you the best service and to comply with applicable law. You will either provide the information to us directly (for example in the Application Form) or we may collect the information from other sources (for example an identity verification tool). We will also process your personal information for all of the further purposes set out in our privacy statement as published on our website from time to time.

If you refuse to provide certain personal information which are mandatory to provide to comply with law or to support your application, we may reject your transactions (which may cause a delay in processing your instruction) or refuse to do further business with you.

Privacy Statement

We may update the privacy statement as published on our website from time to time. By remaining invested with us you consent to us processing your personal information in the manner and for the purposes described in the privacy statement.

What we use your personal information for

We use your personal information for the purposes set out in our privacy statement.

You give us permission to share your personal information in certain circumstances

The services and products we provide are of such a nature that it is often necessary to share personal information with third parties to render an effective service. The privacy statement sets out who we share your information with, under which circumstances and for which purposes.

If you have indicated your consent on the Application Form to receive marketing information, then we will share your personal information for possible marketing or cross-selling purposes within the Sanlam Group.

Protecting your personal information

We will take all reasonable steps necessary to secure the integrity of any personal information which we hold about you and to safeguard it against unauthorized access. We will keep your information confidential and secure. You understand that we cannot guarantee the security of information that you send to us by electronic means and you do so at your own risk.

Tell us about any changes to your personal information

- It is your responsibility to tell us about changes to your name, address, contact details and banking details. An Investor Details Update form is available from www.sanlamunittrusts.co.za

12. Investor declaration

1. I / We confirm that I / we have the authority and am / are legally competent to enter into and conclude this transaction, with any legal assistance that may be required.
2. I / We understand that this application is subject to the Sanlam Collective Investments Scheme Deed (the Deed) and that this application, read together with the Deed, constitutes the entire agreement between Sanlam and myself / ourselves. A copy of the Deed is available upon request.
3. I / We certify that the information I / we have provided about my / our country of citizenship and country of tax residence is correct.
4. In terms of the Prevention of Organised Crime Act (No 121 of 1998), I / we confirm that the funds for this investment come from a legitimate source. I / we further agree to answer any questions on the source of the funds used for investment and to provide additional information if required.
5. I am / We are aware of and consent to all costs and charges relating to this investment. I / We understand that there is no guarantee with regards to the capital investment. I / We am / are aware that there are further allowable deductions from the fund (e.g. an annual management fee) that may impact the value of the investment.
6. I / We understand that the cost of buying units may include an initial upfront fee plus Value Added Tax (VAT) which may consist of Sanlam's manager's fee as well as a broker advice fee. This is additional to the annual management fee charged by Sanlam.
7. I / We confirm that the risk profile of the investment has been explained to me / us and I / we understand that it is my / our obligation to familiarise myself / ourselves with and accept the risks associated with this investment.
8. I / We accept full responsibility for informing Sanlam of any changes in my / our personal information (e.g. change of address, change of surname and contact details).
9. I / We have read and understood the contents of this application form and I / we agree to its terms and conditions.
10. I / We have read and understood the Minimum Disclosure Documents, the Upfront Disclosure Documents, and the policies applicable to this investment.

*Authorised signatory _____ Date signed _____ (ddmmccyy)

*Authorised signatory _____ Date signed _____ (ddmmccyy)

*Authorised signatory _____ Date signed _____ (ddmmccyy)

* Authorised signatory/(ies) acting on behalf of the investor

* Please refer to Form C for additional information / documentation required.

Disclaimer

Sanlam Group is a full member of the Association for Savings and Investment SA. 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 the Manager, Sanlam Collective Investments (RF) Pty Ltd, a registered and approved Manager in Collective Investment Schemes in Securities. 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 traded at ruling prices and can engage in borrowing and scrip lending. 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. Investments in derivative instruments entail specific risks that may increase the risk profile of the Collective Investment Schemes and are more fully described in the Collective Investment Scheme's Minimum Disclosure Document. Performance is based on NAV to NAV calculations with income reinvestments done on the expiry date. Lump sum investment performances are quoted. The portfolio may invest in other unit trust portfolios which levy their own fees and may result in a higher fee structure for our portfolio. All the portfolio options presented are approved collective investment schemes in terms of Collective Investment Schemes Control Act, No 45 of 2002 ("CISCA"). International investments or investments in foreign securities could be accompanied by additional risks as well as potential limitations on the availability of market information. The Manager has the right to close any portfolios to new investors to manage them more efficiently in accordance with their mandates. The portfolio management of all the portfolios is outsourced to financial services providers authorized in terms of the Financial Advisory and Intermediary Services Act, 2002. Standard Bank of South Africa Ltd is the appointed trustee of the Sanlam Collective Investments Scheme.



Form A - Appoint a financial adviser / broker

Complete and submit this section with your investment application form if you received advice from a financial adviser.

Important information

Only one financial adviser is applicable per investor.
All fees are explained in the Minimum Disclosure Document (MDD).

Initial advice fee

- Maximum amounts payable as an initial advice fee are explained in the MDD's.
- Initial advice fees are applied to each contribution and deducted before the investment is made on your Client Account.

On-going advice fee

- This annual advice fee is not applicable to funds or classes where a trailer fee is already included in the service fee.
- The annual advice fee is calculated on the daily market value of the investment portfolio, paid to the financial adviser monthly. It is paid in arrears and from the sale of units from the investor's client account, thereby reducing the units.

Financial adviser details

I wish to appoint the following financial adviser as the preferred adviser on all my Sanlam Collective Investment Accounts.

Adviser / Broker code _____

Full name(s) _____ Surname _____

Fee instruction

I agree to pay the following Initial and On-going Advice Fee (excluding VAT).

| Unit Trust Fund Name | Initial Advice Fee % | On-going Advice Fee % |
|----------------------|----------------------|-----------------------|
| | | |
| | | |
| | | |
| | | |

- If you do not fill in any fees, it will default to 0%.
- If the fund selected does not allow an On-going advice fee, the fee will default to 0%.
- If you have selected a fee greater than that of the fund's maximum, the fee will default to the fund's maximum.
- Any fees indicated on this form will be applied to all future transactions.

Authorised signatory* _____ Date _____ (ddmmccyy)

Authorised signatory* _____ Date _____ (ddmmccyy)

*Authorised signatories acting on behalf of the Legal Entity.

Sanlam financial adviser / broker declaration

Sanlam financial adviser:

Financial advice

It is the adviser's responsibility to complete the advice documents for this transaction and forward them, with this application form, to Sanlam.

FICA declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (if applicable). I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 ("FICA"), and any legislation, regulations or guidelines related to it.

Copies of these documents are attached.

Does this application replace the whole or part of an existing product? Yes ☐ No ☐

If "Yes", please provide a completed replacement advice record with the FAIS documents.

Signature of Sanlam financial adviser

Broker:

FSP license

I declare that I am a licensed financial services provider or a representative of a financial service provider. I am authorised to sell unit trusts.

FSP license number: _____

FICA declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (if applicable). I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 ("FICA"), and any legislation, regulations or guidelines related to it.

Copies of these documents are attached

Signature of broker

Form B - Authorisation from bank account holder

Complete and submit this section if the payment is from a third party's bank account

Individuals

- Copy of the third party's identity document.

Non-individuals

- Proof of establishing document
- A list of authorised signatories (Name, Surname and copy of identity document and specimen signatures) on a company letterhead who will be acting on behalf of the company
- Proof of banking details (copy of a bank statement, not older than 3 months)

Third Party information

First name(s) and Surname / Registered name of legal entity _____

Date of birth/ incorporation _____ (ddmmccyy) Country of birth/ incorporation _____

Identity / Entity Registration number _____

OR Passport (if foreign national): **OR** Social security number _____

Number _____

Expiry date _____

Country _____ (ddmmccyy)

Country _____

Registered address _____

Postal code _____

Country _____

Email address _____

Cell / Mobile _____

Designation e.g. (trustee / founder/ beneficiary >25% ownership) _____

Occupation _____

Self Employed Yes ☐ No ☐

Nature of your self-employment _____

Please specify where the funds for this investment come from.

☐ Salary ☐ Inheritance ☐ Savings ☐ Bonus ☐ Other (Specify) _____

Third Party banking details

Bank account holder _____

Name of bank _____

Account number _____

Name of branch _____

Branch code _____

Type of account Current ☐ Savings ☐

Declaration

I / We here by confirm that the banking details above is correct.

Signature of bank account holder _____

Date _____ (ddmmccyy)

Authorised signatory on bank account _____

Date _____ (ddmmccyy)

*Authorised signatory to sign on behalf of Controlling Person.



Form C – Regulatory Supporting Requirement

Important information

- This form must be completed by **all** parties stated in the [Regulatory Supporting Information](#)
- Each person is required to complete the sections below. If more than one page is required, copies of this section can be made and must accompany the fully completed application form.

Personal details of the Controlling person(s)

Title _____ First name(s) _____

Surname _____

Permanent residential address _____

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

Identity number _____

OR Passport (if foreign national): _____ **OR** Social security number _____

Number _____

Expiry date _____ (ddmmccyy)

Country _____

Email address _____

Cell/Mobile _____

Designation e.g (trustee / founder/ beneficiary >25% ownership) _____

Primary country of tax residence _____

Tax Identification Number _____

Please note: If the legal entity has a GINN number then the tax number for the Controlling Persons (CPs) are not required. FATCA only requires the information (including tax number) of the CPs where the entity is a Passive Non-Financial Entity.

Are you a registered taxpayer 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 _____ (ddmmccyy)

*Authorised signatory _____ Date signed _____ (ddmmccyy)

*Authorised signatory to sign on behalf of Controlling Person.