



## Hedge Funds Additional Investment Form Retail Hedge Fund Scheme (existing investors)

### 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 Investor Hedge Fund Scheme

I confirm that I have read and understood the Upfront Disclosures prior to making this investment.

### Important information

- The investment will only be finalised once we receive the fully completed, dated and signed form, with all the necessary supporting documents. This includes your verified bank account details, Financial Intelligence Centre Act 38 of 2001 (FICA), and Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS) requirements, as verified when the initial investment was made.
- Your funds also need to reflect in our bank account and we require **proof of your deposit** into our bank account.
- Any writing/instruction outside of the allocated fields will not be processed.

### 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.

Investor / entity code \_\_\_\_\_

Title Mr  Mrs  Miss  Other *(please specify)* \_\_\_\_\_

Full name(s) and surname or registered name of legal entity \_\_\_\_\_

Identity number / Passport number / entity registration number \_\_\_\_\_

Contact telephone number ( ) ( ) \_\_\_\_\_  
Country and area codes, e.g. +27 21 555 5555

Email \_\_\_\_\_

These contact details will only be used to process your additional investment instruction. Should your contact details change, you will need to complete an *Investor Details Update form*, available on [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)

### 2. Source of funds for this investment

Please advise where the funds for this investment comes from: *(compulsory)*

Salary  Inheritance  Savings  Bonus  Other *(please specify)* \_\_\_\_\_

Initial \_\_\_\_\_

### 3. Ways to pay

- **Cheque deposits:** All cheques must be endorsed as non-transferable and deposited directly into Sanlam Collective Investments' bank account. The maximum amount that can be processed per cheque is R1million. Please supply proof of deposit with your application form.
- **Electronic transfers:** These may take up to two days to reflect in our bank account. Please supply proof of deposit with your application form.

Note:

- For cheque deposits and electronic transfers, please supply a proof of your deposit into our bank account.
- We do not accept cash deposits.
- All deposits must be in South African Rand or we will return your funds.
- Your transaction will only be processed when your funds reflect in our bank account and when we have received all the relevant documents.
- There may be a delay between when you deposit the funds and when it reflects in our account.

#### Sanlam Collective Investments' bank account details:

Should you wish to make an additional investment in any of your existing funds reflected in your portfolio summary, you may use the bank account below:

**Account holder** Sanlam Collective Investments (RF) Pty Ltd - RHF  
**Bank:** ABSA  
**Branch code:** 632005  
**Account number:** 4088832823  
**Reference:** Client account number

*Your client account number for the relevant fund(s) should be quoted as your deposit reference.*

**Note: Please supply proof of deposit with this instruction form.**

### 4. Investment instruction

Please specify the fund(s) you would like to invest in, and how much you would like to invest. Fund minimums apply. Refer to the Minimum Disclosure Documents. A full list of our funds and Minimum Disclosure Documents is available on our website, [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com). If you are unsure about which funds to invest in or which suit your needs, please speak to your broker or Sanlam financial adviser. Debit Orders will not be available for this product; and instructions for withdrawals should be done on a Disinvestment Form.

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

Hedge Fund Name	Class*	Investment Amount (your deposit)	Income distribution	
			Reinvest	Payout
1				
2				
3				
4				
5				

Income payment(s) will only be paid out to a client's bank account if the investment deposit transaction used to purchase units has been cleared by the bankers on the income reinvestment date. If the units have not been cleared, income payment(s) will automatically be reinvested. The clearance period is 14 business days.

Initial \_\_\_\_\_

## 5. Financial adviser

### 5.1 Broker / Sanlam financial adviser details (if applicable)

Full name(s) \_\_\_\_\_ Code \_\_\_\_\_

Surname \_\_\_\_\_

Identity number \_\_\_\_\_

Contact telephone number ( ) ( ) \_\_\_\_\_  
Country and area codes, e.g. +27 21 555 5555

E-mail \_\_\_\_\_

#### Commission instruction:

I wish to appoint the broker / financial adviser whose details appear above as my preferred intermediary. I agree to pay a negotiable annual advice fee (exclusive of VAT), applied to each contribution. This annual advice fee is based on the daily market value of the investment portfolio, paid to the broker / financial adviser monthly, in arrears from the sale of units (unit reduction).

#### Ongoing advice fee:

Ongoing financial advice fee \_\_\_\_\_ % per annum (negotiable up to a maximum of 1%, excluding VAT).

**Signature of investor / authorised signatory/(ies)** \_\_\_\_\_ (compulsory)

Please note

- This is not part of the normal annual management fee charged by Sanlam.
- To cancel the ongoing advice fee, please complete an Investor Details Update form, available from [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)
- This annual advice fee is not applicable to funds / classes where a trailer fee is already included in the service fee, as explained in the Minimum Disclosure Documents. For more information on fees, please refer to the relevant Minimum Disclosure Documents.

### 5.2 Preferred broker / financial adviser appointment

I confirm that I wish to appoint the above broker / financial adviser as my preferred financial intermediary on all my Sanlam hedge funds. All future commission, trailer and ongoing financial advice fees (if applicable) must be paid to this newly-appointed broker / financial adviser until further notice. I am aware that the financial intermediary, who previously introduced me to Sanlam hedge fund unit trusts, will now be replaced with this new appointment. I also understand that the above appointed (preferred) new broker / financial adviser will now receive the commission on ad hoc investments, trailer and ongoing financial advice fees (if applicable) that was previously paid.

**Signature of investor / authorised signatory/(ies)** \_\_\_\_\_

### 5.3 Declaration by broker / Sanlam financial adviser

#### 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 the investor recorded in this application, or the person acting on their behalf, confirmed his / her identity and address with original, acceptable FICA documents (see *Annexure B*). Copies of these documents are attached.

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

If "Yes", please submit a completed AEB2065 and E2794 form 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 hedge fund 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 (see *Annexure B*).

I will keep a record of the verification documents as required in terms of FICA. I will make available, on request, copies of these documents as well as details of the verification procedures followed.

\_\_\_\_\_  
**Signature of broker**

\* If the investor is not FICA compliant, please provide us with additional supporting documentation

Initial \_\_\_\_\_

## 6. 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. 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.
4. 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.
5. 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.
6. 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.
7. 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).
8. I / We have read and understood the contents of this application form and annexures and I / we agree to its terms and conditions.
9. I / We have read and understood the Minimum Disclosure Documents, the Upfront Disclosures and the policies applicable to this investment.

Signature of investor \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory/(ies) acting on behalf of the investor (e.g. parents / guardians of a minor, and all persons authorised to act on behalf of the investor).

\*Please refer to *Annexure A* and *Annexure B* for additional information / documentation required.

### Authorised signatory details

Title: Mr  Mrs  Miss  Other (please specify) \_\_\_\_\_

Full name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Identity number \_\_\_\_\_

Contact telephone number ( ) ( ) \_\_\_\_\_  
Country and area codes, e.g. +27 21 555 5555

E-mail address: \_\_\_\_\_

Capacity \_\_\_\_\_

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## Important notes and Terms and Conditions

Please read all the information in this annexure carefully and ensure you understand it. The *Annexure A* section does not have to be returned with your completed additional investment form.

### 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.
- For information on unit trusts and how they work, along with our full range of funds and the relevant Minimum Disclosure Documents, please visit our website at [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com) or 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 explain how each fund invests and what applicable fees will be charged.
- If funds are deposited on a Saturday, Sunday or public holiday, investors will receive the next available price.

### Fees and charges

- A full list of our funds, a schedule of fees and charges and maximum commissions is available on the Minimum Disclosure Documents and the Fund Disclosure Documents available on [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)
  - 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.
- The client will be liable for any bank charges incurred as a result of a payment being rejected by the bank.
- An additional investment, switch or transfer within your current portfolio may result in a change to the Effective Annual Cost (EAC) calculation. An updated calculation can be obtained by using our EAC calculator when visiting the Secure Services Portal at <https://cp.sanlam.co.za>. Alternatively you may contact your adviser or phone us on 0860 100 266.
- 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.

### Transaction cut-off times

- Qualified Hedge Funds trade on a monthly basis. All repurchase instructions will only be finalized when the month end NAV has been strike, i.e. investors will remain as investors in the funds irrespective of when SCI receives the repurchase instructions. Any interest received by SCI during mid-month before purchase instructions can be executed, will accumulate and paid to investors (invested with the original capital amount) for credit of investors.
- Please make sure you send us your completed instruction (including supporting documents) and proof of deposit before the transaction cut-off time. The SA business day transaction cut-off time for our funds is 14:00 daily.
- 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.
- We will process your investment only when all the required documentation has been received. Your transaction will be priced using the ruling price of the fund for the day the transaction is processed. Any loss will be for the investor's account.
- Any interest earned on:
  - money deposited for investment in a fund after the specified cut-off time,
  - incorrect deposits or,
  - deposits for applications with outstanding requirements, will not be paid to the client as we are unable to transfer the money in the fund(s) account.

### 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](http://www.sanlamhedgefunds.com)

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### Unclaimed assets and how they affect you

- More information on the ASISA Standard on Unclaimed Assets and the processes is available on [www.asisa.org.za](http://www.asisa.org.za) or from our client service centre on +27 (21) 916 6910.

### Complaints

If you are dissatisfied with our service, please contact us at:

- Telephone: +27 (21) 916 6910
- E-mail: [complaints@sci.sanlam.com](mailto:complaints@sci.sanlam.com)
- Complete a complaint form online at [www.sanlamhedgefunds.com](http://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.

### How we process your personal information

- We collect personal information about you to offer you the best service. We will not share this information outside of the Sanlam Group, its associated groups or agents, without your explicit consent. In order to provide you with an effective service, we may be required to share this information with our administrators or agents who perform certain services for us (e.g. mail houses who post your statements on our behalf), members of the Sanlam Group, your financial adviser or broker, as well as with any regulatory bodies as the law requires. We may share your information with foreign regulatory bodies if required.
- Your information is used for administrative, operational, audit, marketing, research, legal and record keeping purposes. 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. If you don't consent to us using your personal information, there may be delays or some instructions might not be carried out. You can have access to your information at any time and ask us to correct any information we have in our possession. Please feel free to write to us to obtain a copy of this information. We keep relevant documents for a period of five years or more as required by the law. If you consent to us retaining your personal information for periods of longer than 5 years, we will restrict access to your information. It will only be processed for storage or for purposes of proof (with your consent).

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