Investor details
Accounts for Cash Solutions

NEDGROUP INVESTMENTS

1. What you need to know

1. Before completing this form please read the latest Investment Agreement Fund Fact sheet and latest relevant Portfolio Characteristics document - which can be obtained from your client relationship team.
2. Return the completed and signed form with the relevant supporting documents to us via email to NedgroupInvestmentsInstitutional@Silica.net (please print and sign the form before scanning and emailing it to us, as an authorised signature is required for processing)
3. We will set up your account within 48 hours of receipt of all required documentation.
4. Information filled in outside of the relevant fields will not be considered when processing your instruction.
5. If you have any questions please contact your client relationship team on +27 (21) 416 6493 or +27 (11) 294 1077.

2. Investor details

ENTITY DETAILS

- [ ] South African listed company
- [ ] Partnership
- [ ] Close corporation
- [ ] South African unlisted company
- [ ] South African trust
- [ ] Foreign trust
- [ ] Foreign company
- [ ] Government entity / SOE
- [ ] Unregulated fund / Association
- [ ] Retirement fund
- [ ] Medical aid
- [ ] Long-term insurer
- [ ] Investment schemes manager

Registered name

Trading name local

Trading name foreign

Registration number

Country of organisation or incorporation

Date of incorporation

D D M M Y Y Y Y

INDUSTRY (EXCLUDING TRUSTS)

- [ ] Banks
- [ ] Other non-bank financial institutions
- [ ] Professional, scientific and technical services
- [ ] Administrative and support services
- [ ] Human health, social work and education
- [ ] Transportation and storage
- [ ] Real estate
- [ ] Sport
- [ ] Mining
- [ ] Agriculture, forestry and fishing
- [ ] Government, Municipal services, SOE
- [ ] Public administration, defense and social security
- [ ] Finance companies
- [ ] Public sector finacial corporations
- [ ] Information, technology and communication
- [ ] Accommodation and hospitality services
- [ ] Wholesale and retail trade
- [ ] Arts, entertainment and recreation
- [ ] Craft, trade or artisanal
- [ ] Manufacturing
- [ ] Construction
- [ ] Non-profit / religious
- [ ] Gambling

FOR TRUSTS ONLY - PURPOSE OF TRUST:

- [ ] Family trust
- [ ] Business trust
- [ ] Charitable trust
- [ ] Special needs trust

Address of Master of the High Court

Country South Africa

If other

NATURE OF LEGAL ENTITY ACTIVITY

- [ ] Management
- [ ] Executive
- [ ] Marketing
- [ ] Production and supply
- [ ] Sales
- [ ] Distribution
- [ ] Maintenance
- [ ] Financial services

NEDGROUP INVESTMENTS

☐ Customer service
☐ Entertainment / hospitality
☐ Wholesale and retail
☐ Trust management

SOURCE OF WEALTH

☐ Company profit ☐ Donations ☐ Investments ☐ Contributions

INTENDED INVESTMENT TIMEFRAME

☐ Invest for 0 – 3 years ☐ Invest for 3 - 5 years ☐ Invest for over 5 years

INTENDED PURPOSE OF BUSINESS RELATIONSHIP

☐ Invest a single amount with frequent withdrawals
☐ Invest multiple amounts with frequent withdrawals
☐ Invest a single amount with occasional withdrawals
☐ Invest multiple amounts with occasional withdrawals

HOW ARE YOU FUNDING THIS TRANSACTION?

☐ Company profit ☐ Donations ☐ Investment ☐ Contributions
☐ Sale of assets ☐ Venture capital

CONTACT DETAILS

Registered address

C

Country South Africa

If other

Postal address (if different)

C

Country South Africa

If other

Physical business address

C

Country South Africa

If other

Place of effective management

Country

Please note:

- The 'place of effective management' is the place where the most senior persons make their key and strategic decisions for the entity as a whole.

3. Income verification

This information is an anti-money laundering requirement, enforced by the Financial Intelligence Centre Act, 38 of 2001 (FICA).

SOURCE OF WEALTH

☐ Company profit ☐ Donations ☐ Investments ☐ Contributions

4. Tax residency

The Tax Administration Act 28 of 2011 (adopting aspects of the U.S.A. Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information) requires us to collect certain information about investors and its Controlling Persons tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with SARS who may in turn share this information with other relevant tax authorities. If any of the information below change in the future, please advise of these changes promptly.

It is mandatory to classify yourself in this section, for guidance please refer to the **Addendum: Legal entities tax residency classification (FATCA and CRS)** available at *www.nedgroupinvestments.com*, and speak to your tax adviser.

Are you resident for tax purposes in South Africa? ☐ Yes ☐ No

If yes, please indicate your tax number

Are you exempt from dividend withholding tax? ☐ Yes ☐ No

If yes, please complete the Addendum: Declaration for exemption from dividend withholding tax.

Are you tax resident in any other country? ☐ Yes ☐ No

If yes, please complete following for each country of tax residency

	Country of tax residency	Tax identification number (TIN)	**OR**	Not applicable
1				☐
2				☐
3				☐
4				☐
5				☐

Please note

- By ticking not applicable you confirm that the country specified does not issue a tax identification number.

NEDGROUP INVESTMENTS

CLASSIFICATION UNDER FATCA AND CRS

If you are a Financial Institution

FATCA Classification In this section the word "foreign" includes South African legal entities.	**(please tick one)**
South African Financial Institution or a Partner Jurisdiction Financial Institution	☐
Participating Foreign Financial Institution (in a Non-IGA jurisdiction)	☐
Non-Participating Foreign Financial Institution	☐
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).	☐

CRS Classification	**(please tick one)**
Financial Institution under CRS (this includes all Non-Reporting Financial Institutions for example a pension scheme, government entity and international organisation.)	☐
A non-participating professionally managed Investment Entity (this does not include a South African Financial Institution). *If this box is ticked*, please also complete the Addendum Associated / Controlling Persons (natural persons only) in respect of any Controlling Persons.	☐

If you are a financial institution that has obtained a Global Intermediary Identification Number (GIIN) please provide:

GIIN ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

If you are a Non Financial Institution

FATCA Classification In this section the word "foreign" includes South African legal entities.	**(please tick one)**
Active Non-Financial Foreign Entity	☐
Passive Non-Financial Foreign Entity (*If this box is ticked*, please also complete the Addendum Associated / Controlling Persons (natural persons only) in respect of any Controlling Persons).	☐
Non-Financial Entity that is a 'US Person' - please tick one of the following boxes: US Reportable Person Not a US Reportable Person	 ☐ ☐

CRS Classification	**(please tick one)**
A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.	☐
A Government Entity, a Central Bank or an International Organisation.	☐
Active Non-Financial Entity.	☐
Passive Non-Financial Entity. (*If this box is ticked*, please also complete the Addendum Associated / Controlling Persons (natural persons only) in respect of any Controlling Persons).	☐

5. If you are exempt from Dividend Withholding Tax

WITHHOLDING AGENT

Registered name: Nedgroup Collective Investments (RF) Pty LTD

Tax reference number 9 5 6 7 1 8 6 8 4 7

Please indicate the reason for the exemption by ticking the relevant block.

A ☐ A company which is a resident

B ☐ The government, a provincial administration or municipality

C ☐ Public Benefit Organisations (approved in terms of section 30(3) of the Act)

D ☐ Mining rehabilitation trusts (section 37 of the Act)

E ☐ Section 10(1)(cA) persons

F ☐ Section 10(1)(d) funds (e.g. pension funds, provident funds and medical schemes)

G ☐ Section 10(1)(t) persons (e.g. CSIR and SANRAL)

H ☐ Shareholders in a registered micro business (6th Schedule to the Act) (insofar as dividends do not exceed R200,000 per year)

I ☐ A small business funding entity as contemplated in section 10(1)(cQ)

J ☐ Non-residents receiving dividends from foreign companies listed on the Johannesburg Stock Exchange

K ☐ Portfolios of collective investment schemes in securities

L ☐ Any person to the extent that the dividend constitutes income of that person

M ☐ Any person to the extent that the dividend was subject to the STC

N ☐ Fidelity or indemnity funds contemplated in section 10(1)(d)(iii)

6. Investment details

INTENDED INVESTMENT TIMEFRAME

☐ Invest for 0 - 3 years

INTENDED PURPOSE OF BUSINESS RELATIONSHIP

☐ Invest multiple amounts with frequent withdrawals

HOW WILL YOU BE FUNDING TRANSACTIONS?

☐ Company profit ☐ Donations ☐ Investment ☐ Contributions

☐ Sale of assets ☐ Venture capital

Unit trust portfolio account details

Complete the unit trust portfolio details for which accounts are to be opened.

Unit trust portfolio	Class	Income distribution		Only applicable if investing with a Financial Planner: Annual FP fee (excl VAT)
		Reinvest	Payout	
		✓ OR	✓	%
Core Income Fund				
Money Market Fund				
Corporate Money Market Fund				
Prime Money Market Fund				

Please note

- If no income distribution preference is selected, your distribution will be reinvested.
- If you select payout as your income distribution option:
  - Distribution amounts will be paid electronically into the bank account we have on record.
  - Distribution amounts will not be paid to third party accounts or by cheque.
  - If the payment is rejected, your distribution will be reinvested using the ruling price into the originating unit trust portfolio and your income distribution option will be changed to 'reinvest'.

ADVISOR FEES

- If no fee is completed, 0% will apply.
- If a fee higher than the maximum is specified, the maximum will apply.

7. Investor bank account details

It is mandatory to complete this section. Please provide proof of bank account details.

Please note

- The following bank account details will be used if 'payout' has been selected as your income distribution payment method and for all other withdrawal requests unless notified of new bank account details.
- No third party payments will be processed.
- Payments will be delayed if the name of the account holder as registered with the bank is different from that completed below.

Name of account holder (as registered with bank)

Name of bank

Account number

Name of branch

Branch code

Account type ☐ Current ☐ Savings

Country

8. Advisor details and declarations

Name of advisor business

Name of advisor

Code

Contact number + (0)

I confirm that:

- I have made the disclosures required in terms of the Financial Advisory and Intermediary Services Act, 37 of 2002 (FAIS) to the investor.
- I have explained all fees that relate to this investment to the investor.
- I am authorised by the advisor business to sell this investment / product in terms of FAIS.

Advisor signature

Date D D M M Y Y Y Y

9. Investor declaration

I confirm and certify that:

- I am responsible for my investment decisions and have considered whether this investment is right for my needs.
- I confirm that all information provided in this application is true and correct and that I am not aware of any other information that may affect this application negatively.
- Where I am acting on behalf of another person, or as a representative of a legal entity, I confirm that I am duly authorised to complete and sign this form.
- I understand and agree that this application will be governed by the relevant and latest Investment Agreement and I have read and understood the Portfolio Characteristics document and the fund fact sheet that relates to the unit trust portfolios I am investing in.
- I have used the Effective Annual Cost calculator and I am aware of the charges that may be incurred.
- I authorise Nedgroup Investments to accept this instruction as submitted (electronically or otherwise) and agree that Nedgroup Investments will not be held liable for acting on this application and/or any instructions contained herein.
- The information contained in this form may be reported to the South African tax authorities.

Where the Advisor details section has been completed:

- The Advisor business is my appointed Advisor business until I instruct otherwise.
- The Advisor listed, as authorised representative of the Advisor business, is my appointed financial planner.
- My appointed Advisor business must be paid the initial and annual Advisor fees.
- Annual Advisor fees may be recovered via the sale of units from my investment and paid to my Advisor business as long as it remains registered to render services in respect of my investment.
- My appointed Advisor business will have access to my investment details via Nedgroup Investments' secure online website.

Where a person has been authorised to capture instructions online:

- I authorise Nedgroup Investments to act on instructions received from this authorised person via the secure website.
- I acknowledge and agree that Nedgroup Investments will not be held liable for acting on, any instructions submitted by the authorised person via the secure website and I indemnify and hold Nedgroup Investments harmless from all direct or indirect claims (including claims for consequential damages) in this regard.

☐ In terms of sections 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) of the Act I, the undersigned, hereby declare that dividends paid to the beneficial owner is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

☐ Understanding in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act I, the undersigned, undertake to forthwith inform the Withholding Agent in writing should the circumstances of the beneficial owner referred to in the declaration above change.

Authorised signatory ____________ Date D D M M Y Y Y Y

Name ____________ Capacity ____________

If more than one signature is required to authorise this investment, please provide additional authorised signatories below.

Authorised signatory ____________ Date D D M M Y Y Y Y

Name ____________ Capacity ____________

Authorised signatory ____________ Date D D M M Y Y Y Y

Name ____________ Capacity ____________

Addendum

Beneficial Owner/ Controlling Persons (natural persons only)

If the investor is an approved pension, provident or retirement annuity fund completion of this Addendum is not required, however for all other entity types this Addendum is mandatory.

The Financial Intelligence Centre Act 38 of 2001 (FICA), requires us to identify investors and their beneficial / controlling persons and to confirm their identities before accepting an application. We do this to prevent identity theft or fraud and prevent money laundering and terrorist financing.

The Tax Administration Act 28 of 2011 requires us to collect certain information about certain investor's and its Controlling Persons tax arrangements.

Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with relevant tax authorities.

The following persons are considered to be Beneficial Owners and/or Controlling Persons of the investor; **each of these individuals are required to complete the Addendum:**

1. Any natural person who, independently or together with another person, has a controlling ownership **interest of more than 25%** in the legal entity or any of its affiliated entities.
2. Any natural person who exercises **control of the legal entity** through other means, e.g. persons exercising control through voting rights.
3. Any natural person who exercises control over the management of the legal person:
   Company = Managing director
   Closed corporation = all members
   Partnership = all partners
   Trust = all trustees, all beneficiaries, the settlor, the protector(s) (if any)
4. Any other natural person exercising control over the legal entity.

1. Personal details

Complete this section for each associated and/or Controlling Person.

Relationship to investor

Should you be linked as a primary contact person? ☐ Yes ☐ No

Title and surname

First names

Date of birth
D D M M Y Y Y Y

SA ID number

Passport number
(if foreign national)

Passport expiry date
D D M M Y Y Y Y

Passport country of issue

Nationality

Country of birth

CONTACT DETAILS

Cell (mandatory) + __ __ (0) __ __ __ __ __ __ __ __ __

Email address

Alternate telephone + __ __ (0) __ __ __ __ __ __ __ __ __

Residential address or registered address

Code

Country South Africa

If other

Postal address (if different)

Code

Country South Africa

If other

We will send quarterly investments statements via email.

If you would like access to the investment account via our secure website, please contact our Client Service Centre on 0860 123 263.

Please note:

- A South African ID number, email address and cell number are required to register on the secure site.

2. Tax residency

Complete this section for each Controlling Person only if the investor is

(i) a Passive Non-Financial Foreign Entity (FATCA classification),

(ii) a Passive Non-Financial Entity (CRS classification) or

(iii) a non-participating professionally managed Investment Entity (this does not include a South African Financial Institution; CRS classification).

For guidance please refer to the **Addendum: Legal entities tax residency classification (FATCA and CRS)** available at *www.nedgroupinvestments.com*, and speak to your tax adviser.

	Country of tax residency	Tax identification number (TIN)	**OR**	Not applicable
1				☐
2				☐
3				☐
4				☐
5				☐

Please note:

- By ticking not applicable you confirm that the country specified does not issue a tax identification number.
- If you are a USA citizen you are resident for tax purposes in the USA.

I undertake to advise Nedgroup Investments promptly and provide an updated self-certification form where any change in circumstances occur which causes any of the information contained in this addendum to be incorrect.

11. Change Associated Legal Entities

The Financial Intelligence Centre Act 38 of 2001 (FICA), requires us to identify investors and their associated persons and to confirm their identities before accepting an application. We do this to prevent identity theft or fraud and prevent money laundering and terrorist financing.

If the investor is an approved South African pension, provident or retirement annuity fund and the supporting documentation listed on the FICA Addendum is provided, completion of this Addendum is not required. If any of the information below change in the future, please advise of these changes promptly.

The following legal entities are considered to be associated with the investor, as indicated.

1. **Company:**
   - Any legal entity holding 25% or more interest in such company
2. **Partnership:**
   - Each and every corporate partner
   - Each and every other legal entity exercising control over the Partnership
3. **Trust:**
   - Each and every corporate trustee
   - Each and every corporate beneficiary
   - The settlor
   - The protector(s) (if any)
   - Any other legal entity exercising control over such Trust

1. Legal entity details

Please complete this section for each associated legal entity.

Relationship to investor

Registered name

Trading name local

Trading name foreign

Registration number if applicable

Registered address

Code

Country South Africa

If other

Postal address (if different)

Code

Country South Africa

If other

Physical business address

Country of incorporation

Code

I undertake to advise the Nedgroup Investments promptly and provide an updated self-certification form where any change in circumstances occurs which causes any of the information contained in this addendum to be incorrect.

NEDGROUP INVESTMENTS

Addendum

Contact person(s)

Please complete the following section for each contact person linked to this investment indicating what type of correspondence they should have access to.

Please note

- Contact persons have no authority to act on behalf of the investor.
- Correspondence will only be sent electronically.
- A SA identity number, email address and cell number are required to register you on the secure site.
- You may only elect one primary contact person.
- Please provide a copy of SA ID for each contact person.

CONTACT PERSON 1

Should you be linked as the primary contact person? ☐ Yes ☐ No

What is your relationship to the investor?

Title and surname

First names

Date of birth

D D M M Y Y Y Y

SA ID number

Passport number
(if foreign national)

Cell + (0)

Alternate telephone + (0)

Email address

Please indicate to whom we should send monthly statements.

Full Name	Email address

Please indicate who should be granted viewing rights for the Nedgroup Investments' secure site.

Full name	
User name	
ID number	
Cell phone	
Email address	

Full name	
User name	
ID number	
Cell phone	
Email address	

Full name	
User name	
ID number	
Cell phone	
Email address	

Full name	
User name	
ID number	
Cell phone	
Email address	

Addendum

Authority to transact online

Should this change you are to immediately notify your client relationship team so that their access to our secure site can be terminated.

The person will be able to transact on your unit trust portfolio(s) for this investment.

Please note

- Any instructions from an authorised person(s) which require any changes to the bank account details that Nedgroup Investments has on record, will not be permitted.
- Nedgroup Investments is entitled to, and shall, regard all instructions submitted through the login details issued to you and/or the authorised person(s) as actually originating from you.
- If you'd like to authorise an additional person(s) to transact on your behalf please copy this section and submit with this form.

Title and surname

First names

Date of birth
D D M M Y Y Y Y

SA ID number

Passport number
(if foreign national)

Passport expiry date
D D M M Y Y Y Y

Passport country of issue

Nationality

Country of birth

Cell + (0)

Email address

Alternate telephone + (0)

Please note:

- A copy of the authorised person's ID is required.