

Client Details

Existing Investors

Individual



1. What you need to know

1. Before completing this form, please read the latest relevant Investment Agreement.
2. Information filled in outside of the relevant fields will not be considered when processing your instruction.
3. All documents can be obtained from our Client Services Centre.
4. If you have any questions about this form, please contact your financial planner or our Client Services Centre on 0800 123 263 (from within SA) or on +27 21 412 2003 (from outside SA).
5. Please email your completed and signed instruction to instructions@nedgroupinvestments.co.za.

For financial instructions

Please read the Minimum Disclosure Document and Portfolio Characteristics document and use the Effective Annual Cost calculator to understand the charges that may be incurred when investing. Your investment will be processed into the unit trust portfolio class specified on the relevant Portfolio Characteristics document.

We will process your instruction once:

- We have received, reviewed and accepted your completed and signed form
- We have performed all checks, verifications and assessments required in terms of regulation
- Any applicable investment contributions reflects in our bank account

The daily cut-off for receipt of instructions is 14:00, except for Money Market Funds (unit trust only) for which the cut-off is 12:00 on any business day.

For change of details instructions

We will process your instruction once:

- We have received, reviewed and accepted your completed and signed form
- We have performed all checks, verifications and assessments required in terms of regulation

The daily cut-off for receipt of instructions is 14:00 any business day and will be processed within 48 hours.

I am submitting this form to update my personal details, contact details, my income and FICA information and/or my tax information. If changing your name or SA ID/Passport number, please attached an updated copy of your identity document.

2. Investor details

Please note:

- All fields must be completed to process your instruction

Investor number

Investor type

Please note:

Product restrictions apply per investor type:

- **Unit Trust:** South African individual, Deceased estate, Foreign individual, Asylum seeker, Sole proprietor or Refugee
- **Tax-Free Investment:** If in possession of a South African ID or income tax number - South African individual, Foreign individual, Asylum seeker or Refugee
- **Endowment:** South African individual, Foreign individual, Asylum seeker, Sole proprietor or Refugee
- **Retirement Annuity Fund / Preservation Funds:** South African individual
- **Living Annuity / Living Annuity Plus:** South African individual

South African individual

Deceased estate

Foreign individual

Asylum seeker

Sole proprietor

Refugee

Ethnic group

This information is required by our regulator for demographic reporting purposes.

Black / African

Coloured

Indian / Asian

White

Personal details

Title and surname

First names

Preferred name

Date of birth

SA ID number

Passport number
(if foreign national)

Passport expiry date

Passport country

Country of birth * Place of birth (city or town)

Country of residence

* If you were born in the US, including a US territory, or you were a US citizen or US national and you have renounced your US citizenship, you will be required to submit an IRS W-8 BEN form which can be found on www.irs.gov.

Do you have more than one nationality / citizenship? Yes No

Nationality / citizenship 1

Nationality / citizenship 2

Nationality / citizenship 3

Nationality / citizenship 4

Nationality / citizenship 5

Contact details

Cell phone number (mandatory) + (0)

Email address (mandatory)

Alternative contact number + (0)

Residential address

Code

Country South Africa

If other

Postal address (if different)

Code

Country South Africa

If other

Please note:

- If you have a US physical or postal address, [please submit](#) an IRS W-8-BEN form
- Forms can be found on www.irs.gov – the website of the Internal Revenue Service for the United States

3. Income verification and FICA

Income verification

This information is an anti-money laundering requirement prescribed by the Financial Intelligence Centre Act, 38 of 2001 (FICA). Supporting documentation may be requested.

What is your source of wealth?

- | | | |
|--|--|---|
| <input type="checkbox"/> Salary / Commission | <input type="checkbox"/> Business earnings | <input type="checkbox"/> Self-employed |
| <input type="checkbox"/> Pension / Annuity | <input type="checkbox"/> Court order / Maintenance | <input type="checkbox"/> Inheritance / Donation / Trust / Family-funded |

How are you funding your investment contributions?

- | | |
|--|---|
| <input type="checkbox"/> Salary / Commission / Bonus / Resignation benefit | <input type="checkbox"/> Loyalty programme |
| <input type="checkbox"/> Business earnings | <input type="checkbox"/> Pension / Annuity / Retirement savings |
| <input type="checkbox"/> Court order / Maintenance / Divorce settlement / Road accident fund | <input type="checkbox"/> Sale of assets |
| <input type="checkbox"/> Inheritance / Donations / Winnings / Gifts / Family | <input type="checkbox"/> Self-employed |
| <input type="checkbox"/> Investments / Savings / Rental income / Insurance | <input type="checkbox"/> Transfer from another investment |

Employment type

- | | |
|--|--|
| <input type="checkbox"/> Permanent salaried employee | <input type="checkbox"/> Part-time |
| <input type="checkbox"/> Contractor | <input type="checkbox"/> Self employed |
| <input type="checkbox"/> Diplomatic care | <input type="checkbox"/> Student |
| <input type="checkbox"/> Not employed | |

What is your occupation?

- | | | | |
|--------------------------|--|--------------------------|---|
| <input type="checkbox"/> | Academic / Educator / Skills developer | <input type="checkbox"/> | Minor / Student / Scholar |
| <input type="checkbox"/> | Administrator / Assistant / Client services consultant | <input type="checkbox"/> | Professional |
| <input type="checkbox"/> | Artist / Performer / Media / Hospitality personnel | <input type="checkbox"/> | Religious leader |
| <input type="checkbox"/> | Care giver / Domestic worker / Cleaning services personnel | <input type="checkbox"/> | Retiree / Pensioner |
| <input type="checkbox"/> | Casual worker / Contract worker | <input type="checkbox"/> | Safety / Security personnel |
| <input type="checkbox"/> | Crafter / Trader / Artisan | <input type="checkbox"/> | Sales / Marketing professional |
| <input type="checkbox"/> | Executive / Director | <input type="checkbox"/> | Self-employed / Business owner |
| <input type="checkbox"/> | Farmer / Agriculturist / Conservationist | <input type="checkbox"/> | Sports professional |
| <input type="checkbox"/> | Government employee / Judge | <input type="checkbox"/> | Technician / Scientist / IT professional / Researcher |
| <input type="checkbox"/> | Health professional / Community worker | <input type="checkbox"/> | Unemployed / Home executive / Medically boarded |
| <input type="checkbox"/> | Manager | | |

What industry do you work in?

- | | | | |
|--------------------------|---|--------------------------|---|
| <input type="checkbox"/> | Accommodation / Hospitality services | <input type="checkbox"/> | Manufacturing |
| <input type="checkbox"/> | Administrative / Support services | <input type="checkbox"/> | Mining – General |
| <input type="checkbox"/> | Agriculture /Forestry / Fishing | <input type="checkbox"/> | Mining – Precious and Semi-precious metals/stones |
| <input type="checkbox"/> | Arts / Entertainment / Recreation | <input type="checkbox"/> | Non-profit / Religious |
| <input type="checkbox"/> | Banking | <input type="checkbox"/> | Other non-bank financial institutions |
| <input type="checkbox"/> | Construction | <input type="checkbox"/> | Professional / Scientific / Technical services |
| <input type="checkbox"/> | Craft / Trade / Artisanal | <input type="checkbox"/> | Public sector financial corporations |
| <input type="checkbox"/> | Defence / Social security | <input type="checkbox"/> | Real estate |
| <input type="checkbox"/> | Financial / Investment / Insurance activities | <input type="checkbox"/> | Sports |
| <input type="checkbox"/> | Gambling | <input type="checkbox"/> | Transportation / Storage |
| <input type="checkbox"/> | Government / Municipal services / SOE | <input type="checkbox"/> | Unemployed |
| <input type="checkbox"/> | Human health / Social work / Education | <input type="checkbox"/> | Wholesale / Retail trade |
| <input type="checkbox"/> | Information / Technology / Communication | | |

Please complete only for the product(s) you are invested in and for which you are applying for in this application if applicable.

Intended purpose of investment

Unit trust

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

Tax-Free investment

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

Endowment

- Invest for over 5 years

Retirement Fund

- Invest for retirement

Preservation Fund

- Invest for retirement

Living Annuity / Living Annuity Plus

- Invest for over 5 years

Nature of relationship with Nedgroup Investments

- 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

- 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

- 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

- Invest a single amount
- Invest multiple amounts

- Invest a single amount
- Invest multiple amounts

- Invest a single amount with frequent withdrawals

4. Tax information

1. 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 Information) require us to collect information about our investors' tax arrangements:

- 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 changes in the future, please advise us of these changes promptly

2. Please consult your professional tax advisor with respect to your entity's tax residency and any related guidance on the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

Is South Africa your country of primary tax residence?

Yes No

Are you registered to pay tax in South Africa?

Yes No

If 'Yes', please provide your South African tax number:

Are you a United States (US) citizen, a US person, or a US national?

Yes No

Please note:

- If 'Yes', please submit an IRS W-9 form with this instruction
- Forms can be found on www.irs.gov – the website of the Internal Revenue Service for the United States

Do you have tax obligations, tax liabilities or tax residencies outside of South Africa?

Yes No

If 'Yes', please complete the following for each country of tax residency:

Country of tax residency	Tax identification number (TIN)	TIN not applicable reason		
		A	B	C
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please note:

If you are unable to provide a TIN number, please indicate the relevant reason:

- Reason A: Your country does not issue TIN's to its tax residents. (This does not apply to US tax residents.)
- Reason B: Your tax authority does not need you to provide a TIN. (This does not apply to US tax residents.)
- Reason C: You have not or did not register for a TIN with your tax authority.

Withholding tax declaration

Only complete this section if you are investing into a Unit Trust

I declare that I am a South African resident for tax purposes and therefore will be subject to the default Dividend Withholding Tax (DWT) rate of 20% on local dividends and Interest withholding Tax (IT) will not apply. I further declare that I understand that any income earned from interest bearing instruments and Real Estate Investment Trusts (REIT) constitute income that needs to be filed in my annual tax return as Nedgroup Investments will not withhold tax on my behalf.

I declare that I am not a South African resident for tax purposes and therefore will be subject to the default DWT rate of 20% on local dividends and the default IT rate of 15% on local interest.

I declare that I am not a South African resident for tax purposes but there is a double taxation agreement (DTA) in place between South Africa and my country of tax residence. Please specify the country with which the double taxation agreement exists.

Country

5. Financial planner details and declarations

Please note:

- If the financial planner listed below is different from the one, we have on record, please submit a 'Financial Planner form'

Name of financial planning business

Name of financial planner

Financial planner 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 used the Effective Annual Cost calculator and explained all fees and charges that relate to this investment to the investor
- I am authorised by the financial planning business to sell this investment / product in terms of FAIS

Financial planner signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

6. 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 am responsible for the accuracy and completeness of all answers, statements or other information provided by me or on my behalf
- I confirm that all information provided in this application is true and correct
- Where I am acting on behalf of another person, I confirm that I am duly authorised to complete and sign this form (excluding the beneficiary nomination section, if applicable)
- I understand and agree that this application will be governed by the relevant and latest Investment Agreement and all relevant notes included in this form and subsequent transactional forms.
- I have read, understood and agree to the latest terms and conditions included in the latest Investment Agreement
- I have read, understood and agree to the information in the Minimum Disclosure Document and the Portfolio Characteristics document
- 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 and all attachments submitted together with this form (electronically or otherwise) and agree that Nedgroup Investments will not be held liable to 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
- I understand and agree that the above declarations apply to all subsequent applications and forms that I submit to Nedgroup Investments

Where the financial planning details section has been completed:

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

Investor / Authorised
signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name

Capacity

Nedgroup Investments

Nedbank Clocktower Clocktower Precinct V&A Waterfront Cape Town 8001 PO Box 1510 Cape Town 8000 South Africa

Nedgroup Investments Proprietary Limited (Company registration number 1996/017075/07)
Incorporating Nedgroup Collective Investments (RF) Proprietary Limited (Company registration number 1997/001569/07)
Nedgroup Investment Advisors Proprietary Limited (Company registration number 1998/017581/07) an authorised
Financial Services Provider (FSP licence number 1652)

Directors: NA Andrew, RC Williams

www.nedgroupinvestments.com