Sanlam
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portfolios managed by
TBI Investment Managers

Unit Trust Application Form

Individual Investors (new investors only)

- View the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to www.sanlamunittrustsmdd.co.za.
- The Terms and Conditions are available on the web. If you cannot access the link provided above this can be obtained from our Client Contact Centre.
- To comply with regulatory requirements we have to identify and verify you before investing your funds.
- The investment will be finalised once we receive the fully completed, dated and signed form, with all the necessary supporting documents.
- If you wish to make an EFT payment, we will provide you with our bank details and your client account number once your Unit Trust account is opened.

Completing the information correctly will ensure that the investment is processed without delays.

- All information must be accurately completed.
- The form must be completed, **dated and signed** by the registered investor, or authorised signatories with valid authorisation from the investor such as a power of attorney or a mandate.
- Do not write any instructions outside the allocated fields.
- Initial any changes made.
- Return **pages 2 to 7** to us with the relevant additional sections below.
- Complete and return the following sections if applicable:
  - **Appoint a financial adviser / broker** - Form A
  - **Authorisation from bank account holder** - Form B
  - **Invest on behalf of the investor -** Form C

Please submit the following verification documents:

- Copy of ID document or Smart card (both sides) or Passport (if foreign national).

Please submit the following verification documents if you are acting on behalf of an investor:

- The abovementioned documents for the authorised person.
- Investor authorisation, such as a power of attorney or mandate.

Our contact details

Send the completed form and supporting documents to:

E-mail Address	priority@sanlaminvestmentssupport.com

If you have any questions, contact us at:

E-mail Address	clientsupport@sanlaminvestments.com
Tel	0860 100 266
Website	www.sanlaminvestments.com

Cut off times

Fund Type	Cut off time
SCI Alternative Income Fund	11:00
SCI Diversified Income Fund of Funds	15:00

All required documents must be provided before the cut off time in order for your instruction to be processed on the same day.

Unit Trust Application Form

Individual Investors (new investors only)

1. Investor classification

The section is only applicable to the following parties:

☐ Sanlam Group Employee pay code ______________________

☐ Sanlam Private Wealth (SPW) Portfolio Managers BDA number ______________________

2. Investor details

All fields in section 2 are mandatory.

Title ______________ First name(s) ______________________________

Surname ______________________ Gender ______________________

Date of birth ______________ (ddmmccyy) Country of birth ______________________

Citizenship ______________________

Other Citizenship ______________________

Identity number ______________________

OR Passport number ______________________ **OR** Social security number ______________________

Expiry date ______________ (ddmmccyy)

Country of issue ______________________

Occupation ☐ Minor/Scholar ☐ Retired ☐ Salaried employee

☐ Self-employed ☐ Student ☐ Unemployed

Email address ____

Residential address ____

____

Country ______________________________ Postal code ______________

Contact numbers	International dialling code	Area code	Number
Telephone (work) - *optional*			
Telephone (home) - *optional*			
Cell/mobile		n.a.	

Industry of Occupation (Select only one option)

Please provide us with the nature of your business activities or occupation.

- [ ] Accounting Services
- [ ] Administrative and Support Services
- [ ] Adult Entertainment
- [ ] Aerospace & Defense
- [ ] Agriculture, Forestry and Fishing
- [ ] Arms Dealers
- [ ] Arts, Entertainment and Recreation
- [ ] Automobiles & Parts
- [ ] Banks
- [ ] Beverages
- [ ] Broadcasting and Entertainment
- [ ] Cannabis/CBD Industry
- [ ] Cash Aggregators
- [ ] Chemical Engineering/ Manufacturing
- [ ] Community and Social Activities
- [ ] Construction and Civil Engineering
- [ ] Consumer Goods: Wholesale and Retail
- [ ] Domestic Services/Gardening Services
- [ ] Education
- [ ] Electricity, Solar, Water, Gas and Waste Services
- [ ] Electronic & Electronical Equipment
- [ ] Entrepreneurship
- [ ] Equity Investment Instruments
- [ ] Estate, Living and Family Trusts
- [ ] Extractive Services, Mining and Quarrying
- [ ] Financial and Insurance
- [ ] Food Producers
- [ ] Gambling
- [ ] Government Services
- [ ] Healthcare and Medical
- [ ] High Transaction Volume Import/Export Companies
- [ ] High Value Goods Dealers (Including Motor Vehicle Dealers, Art Dealers, Luxury Goods/Services Etc)
- [ ] Household Goods & Home Construction Materials
- [ ] Industrial Engineering
- [ ] Industrial Metals
- [ ] Informal Trading
- [ ] Information Technology, Communication and Telecoms
- [ ] Legal Practitioner
- [ ] Manufacturing
- [ ] Media
- [ ] Money Transfer/Service Business
- [ ] Motor Wholesale, Retail Trade and Repair
- [ ] Non-Equity Investment Instruments
- [ ] Non-Profit Organisation/Regulated Charity
- [ ] Non-Government Organisation (NGO)
- [ ] Oil & Gas Producers/Suppliers
- [ ] Pawn Brokers/Second Hand Dealers
- [ ] Pharmaceutical & Biotechnology
- [ ] Precious Metals and Stone Dealers
- [ ] Professional Sport
- [ ] Public Finance Management Art Schedule
- [ ] Real Estate and Property Services
- [ ] Reinsurance
- [ ] Scrap Metal Industry
- [ ] State Owned Enterprises
- [ ] Tobacco
- [ ] Transport, Storage, Courier and Freight
- [ ] Travel, Tourism, Accommodation and Food Services
- [ ] Virtual Currencies

3. Investment fund details

Name your Investment Goal ______________________________

(example Peter's University fund)

Please select the fund(s) you would like to invest in and indicate the amount you would like to invest.
If you are unsure about which funds suit your needs, please consult your broker or Sanlam financial adviser.
Please review the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to www.sanlamunittrustsmdd.co.za.

Fund Range	***Class**	**Lump sum deposit** *Please provide an estimate if amount is still to be confirmed.* **(R)**	**Monthly recurring debit order (R)**	**Income distribution** **(Please tick selection)**	
				Reinvest	**Payout**
SCI Alternative Income Fund				☐	☐
SCI Diversified Income Fund of Funds				☐	☐
				☐	☐
				☐	☐

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

4. Source of Income (Select only one option)

On-going revenue stream or specific regular income arising from particular transactions.

- [ ] Allowance
- [ ] Bonus
- [ ] Business Operating Income
- [ ] Commission
- [ ] Company sale/sale of interest in company
- [ ] Disability/Social Grant
- [ ] Dividends from Investments
- [ ] Gratuity
- [ ] Maintenance (formal agreement)
- [ ] Maintenance (informal agreement)
- [ ] Pension
- [ ] Rental of Property
- [ ] Salary
- [ ] Savings
- [ ] Trust Income
- [ ] Virtual Currency

Source of Funds (Select only one option)

The activity that generated the particular funds being invested.

- [ ] Bonus
- [ ] Bursary
- [ ] Commission
- [ ] Company Profits
- [ ] Debt Capital
- [ ] Divorce Settlement
- [ ] Equity Capital
- [ ] Gambling Winnings
- [ ] Gift/Donation
- [ ] Income from previous employment
- [ ] Inheritance
- [ ] Loan
- [ ] Lobola
- [ ] Lottery Winnings
- [ ] Maturing Investments
- [ ] Provident Fund
- [ ] Pension
- [ ] Retirement Funds
- [ ] Sale asset/property
- [ ] Sale of shares
- [ ] Salary
- [ ] Sanlam Payout
- [ ] Savings
- [ ] Settlement
- [ ] Tax Rebate
- [ ] Transfer to/from approved fund

5. Payment instructions

You have the following options for payment:

5.1 We collect funds via debit order

- [ ] Monthly debit order on the [ ] 1st or [ ] 21st day of each month starting ____________________ (mmccyy)

Annual increase ____________ %

Annual increase date ____________ (mmccyy)

Payment selection

- [ ] Payment is from my own bank account **(Complete Section 7)**

OR

- [ ] Payment is from a third party bank account **(Complete Form B).** For use when opening an investment for a Minor, or if the debit order is being paid by a third party.

OR

5.2 You pay via an Electronic Fund Transfer (EFT)

- [ ] Lump sum deposit

- Once your account has been opened, you will receive notification and payment instructions.

6. Monthly Withdrawal Instruction

Please select your fund(s) and selection date for your monthly withdrawal.

Unit trust fund(s)	Class	Amount (R)

Please note:
Investments can only be withdrawn after the initial clearance period. The clearance period for once off investments is 15 days and for recurring investments is 28 days. When choosing a selection date below, please also take into account processing and inter-banking clearance of 2-3 working days, to ensure that funds reflect in your bank account timeously.

Selection date ______________________ (ddmmccyy)

7. Investor banking details

The banking details specified will be used for

- Disinvesting
- Income distribution payments
- Debit order

Payments will only be made into the account of the registered investor. Payments cannot be made to third parties.

Bank account holder ______________________

Identity number ______________________

Name of bank ______________________

Account number ______________________

Name of branch ______________________

Branch code ______________________

Type of account: ☐ Current ☐ Savings

I instruct and authorise Sanlam or its agents to draw direct debits against my bank account where applicable as per the information given to SCI.

Signature bank account holder ______________________ Date ______________ (ddmmccyy)

8. 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.

Your statements and tax certificates will be available on the Sanlam Secure Services website should you need to have a printed copy.

Once you have your investor number you can register to transact on Sanlam Secure Services.

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 Client Contact Centre.

9. 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.

Is South Africa your primary country of tax residence? ☐ Yes ☐ No

Are you registered to pay tax in South Africa? ☐ Yes ☐ No

If yes, please provide your South African Tax identification Number (or reason why one has not been issued).

____

Are you registered for tax in any other country? ☐ Yes ☐ No

If yes, please provide your Tax identification Number (or reason why none has been issued).

Country of tax residence	Tax Identification Number	OR	Reason Tax Number not Applicable

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 (WTI)* form, available on our website www.sanlaminvestments.com

11. Investor declaration

By signing this application form I agree that I have read and understand the application form and related terms and conditions.

Signature of investor ______________________________ Date ____________________ (ddmmccyy)

*Authorised signatory ______________________________ Date ____________________ (ddmmccyy)

*Authorised signatory ______________________________ Date ____________________ (ddmmccyy)

*Authorised signatories acting on behalf of the investor (e.g. parents / guardians of a minor and persons authorised to act on behalf of the investor).

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Form A
Appointment 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.

Distribution fee:
- To apply the distribution fee there must be a distribution agreement between the financial adviser and Sanlam Collective Investments in which this fee is specified.
- This fee is included in the annual management fee.

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 %	* Distribution fee %

*Please indicate the distribution fee % if a signed distribution agreement is in place.
- 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.

Signature of Investor ______________________ Date ______________ (ddmmccyy)

*Authorised signatory ______________________ Date ______________ (ddmmccyy)

*Authorised signatory ______________________ Date ______________ (ddmmccyy)

*Authorised signatories acting on behalf of the investor (e.g. parents / guardians of a minor and persons authorised to act on behalf of the investor).

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 the investor recorded in this application, or the person acting on their behalf, confirmed his / her identity with original, acceptable FICA documents.

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

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Form B
Authorisation from bank account holder

- Complete and submit this section if the payment is from a third party's bank account.
- Copy of Identity document is required for the third party payer.

Third party information

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

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

Identity / Registration number ______________________

OR Passport number ______________ **OR** Social security number ______________

Expiry date ____________ (ddmmccyy)

Country of issue ______________

Residential Address ______________________

____

Country ______________ Postal code ____________

Email address ______________

Cell / Mobile ______________

Designation e.g.(trustee / founder / beneficiary > 5% ownership) ______________

Occupation

- ☐ Minor/Scholar
- ☐ Retired
- ☐ Salaried employee
- ☐ Self-employed
- ☐ Student
- ☐ Unemployed

Industry of Occupation / Entity (Select only one option)

Please provide us with the nature of your business activities or occupation.

- ☐ Accounting Services
- ☐ Administrative and Support Services
- ☐ Adult Entertainment
- ☐ Aerospace & Defense
- ☐ Agriculture, Forestry and Fishing
- ☐ Arms Dealers
- ☐ Arts, Entertainment and Recreation
- ☐ Automobiles & Parts
- ☐ Banks
- ☐ Beverages
- ☐ Broadcasting and Entertainment
- ☐ Cannabis/CBD Industry
- ☐ Cash Aggregators
- ☐ Chemical Engineering/ Manufacturing
- ☐ Community and Social Activities
- ☐ Construction and Civil Engineering
- ☐ Consumer Goods: Wholesale and Retail
- ☐ Domestic Services/Gardening Services
- ☐ Education
- ☐ Electricity, Solar, Water, Gas and Waste Services
- ☐ Electronic & Electronical Equipment
- ☐ Entrepreneurship
- ☐ Equity Investment Instruments
- ☐ Estate, Living and Family Trusts
- ☐ Extractive Services, Mining and Quarrying
- ☐ Financial and Insurance
- ☐ Food Producers
- ☐ Gambling
- ☐ Government Services
- ☐ Healthcare and Medical
- ☐ High Transaction Volume
- ☐ High Value Goods Dealers
- ☐ Household Goods & Home

Import/Export Companies	(Including Motor Vehicle Dealers, Art Dealers, Luxury Goods/Services Etc)	Construction Materials
☐ Industrial Engineering	☐ Industrial Metals	☐ Informal Trading
☐ Information Technology, Communication and Telecoms	☐ Legal Practitioner	☐ Manufacturing
☐ Media	☐ Money Transfer/Service Business	☐ Motor Wholesale, Retail Trade and Repair
☐ Non-Equity Investment Instruments	☐ Non-Profit Organisation/Regulated Charity	☐ Non-Government Organisation (NGO)
☐ Oil & Gas Producers/Suppliers	☐ Pawn Brokers/Second Hand Dealers	☐ Pharmaceutical & Biotechnology
☐ Precious Metals and Stone Dealers	☐ Professional Sport	☐ Public Finance Management Art Schedule
☐ Real Estate and Property Services	☐ Reinsurance	☐ Scrap Metal Industry
☐ State Owned Enterprises	☐ Tobacco	☐ Transport, Storage, Courier and Freight
☐ Travel, Tourism, Accommodation and Food Services	☐ Virtual Currencies	

Source of Income

If the third party investor is a non-individual, select one of the following source of income selections:

☐ Business Operating Income	☐ Commission	☐ Cryptocurrency
☐ Company Profits	☐ Company sale/sale of interest in company	☐ Dividends from investments
☐ Member Contributions	☐ Pension	☐ Rental of Property
☐ Retained Earnings	☐ Savings	☐ Trust Income

If the third party investor is an individual, select one of the following source of income selections:

☐ Allowance	☐ Bonus	☐ Business Operating Income
☐ Commission	☐ Company sale/sale of interest in company	☐ Disability/Social Grant
☐ Dividends from Investments	☐ Gratuity	☐ Maintenance (formal agreement)
☐ Maintenance (informal agreement)	☐ Pension	☐ Rental of Property
☐ Salary	☐ Savings	☐ Trust Income
☐ Virtual Currency		

Source of Funds

If the third-party investor is a non-individual, select one of the following source of funds selections:

☐ Commission	☐ Company Profits	☐ Cryptocurrency
☐ Debt Capital	☐ Employee Benefits	☐ Equity Capital
☐ Gift/Donation	☐ Inheritance	☐ Maturing Investments
☐ Pension	☐ Provident Fund	☐ Retained Earnings
☐ Retirement Funds	☐ Sale asset/property	☐ Sale of Shares
☐ Sanlam Payout	☐ Savings	☐ Settlement

☐ Tax Rebate
☐ Transfer to/from approved funds

If the third party investor is an individual, select one of the following source of funds selections:

☐ Bonus	☐ Bursary	☐ Commission
☐ Company Profits	☐ Debt Capital	☐ Divorce Settlement
☐ Equity Capital	☐ Gambling Winnings	☐ Gift/Donation
☐ Income from previous employment	☐ Inheritance	☐ Loan
☐ Lobola	☐ Lottery Winnings	☐ Maturing Investments
☐ Provident Fund	☐ Pension	☐ Retirement Funds
☐ Sale asset/property	☐ Sale of shares	☐ Salary
☐ Sanlam Payout	☐ Savings	☐ Settlement
☐ Tax Rebate	☐ Transfer to/from approved fund	

Third party banking details

Indicate if you are adding an additional bank account to the one provided in the Investor Banking Details section above

Yes I am adding an additional bank account ☐

Bank account holder ______________________________

Name of bank ______________________________

Account number ______________________________

Name of branch ______________________________

Branch code ______________________________

Type of account ☐ Current ☐ Savings

Declaration

I instruct and authorise Sanlam or its agents to draw direct debits against my bank account where applicable as per the information given to SCI.

Signature bank account holder ______________________ Date ____________ (ddmmccyy)

Authorised signatory on bank account ______________________ Date ____________ (ddmmccyy)

*Authorised signatory to sign on behalf of Controlling Person.

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Form C
Authorisation to act on behalf of an Investor

• 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.
- Documents must be provided as stated in the Regulatory Supporting Information.
- The Terms and Conditions are available on the web. If you cannot access the link provided above this can be obtained from our Client Contact Centre.

Investor name and surname ______________________________

Personal details

Title ____________ First name(s) ______________________________

Surname ______________________________

Permanent residential address ______________________________

____

Country ______________________________ Postal code ____________

Date of birth ____________ (ddmmccyy) Country of birth ______________________________

Identity number ______________________________

OR Passport number ______________________________ **OR** Social security number ____________

Expiry date ____________ (ddmmccyy)

Country of issue ______________________________

Email address ______________________________

Cell / Mobile ______________________________

Relationship (e.g. parent, guardian) ______________________________

Primary country of tax residence ______________________________

Tax Identification Number ______________________________

Are you a registered tax payer 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 ____________ (ddmmccyy)

*Authorised signatory ______________________________ Date ____________ (ddmmccyy)

*Only authorised signatories acting on behalf of the investor must sign (e.g. parent, guardian, etc.)