



**IMPORTANT INFORMATION**

- 1. This form is for retail investors, investing in the name of a legal entity such as a company/trust/partnership or in the name of a club or association.
- 2. Please ensure sections 1, 2, 3, 4, 5 and 6, as well as 13, 14, 15,16 are fully completed, including Annexure A and C where relevant, and sign section 16. Please complete the other sections of this form in line with your investment requirements.
- 3. The Effective Annual Cost (EAC) is a standard industry measure for your information and to facilitate comparing the cost of an investment over specific periods. (Visit [www.oldmutualinvest.com](http://www.oldmutualinvest.com) for more information and to access the EAC illustrator.) The EAC of your investment will be confirmed in writing once your investment has been processed.
- 4. The completed form and supporting documentation (refer to section 12) can be scanned and emailed to [uttransactions@oldmutual.com](mailto:uttransactions@oldmutual.com).
- 5. Illegible and incomplete forms may lead to delays. Contact our Service Centre at 0860 234 234 if you have any queries.
- 6. Your application will be processed once we have received and fully verified the completed form and supporting documentation requested for your entity and all related parties.
- 7. Once your account has been opened, you can register via [www.oldmutualinvest.com](http://www.oldmutualinvest.com) to view your portfolio.
- 8. Transaction confirmations are emailed or posted.

**PROCESSING TIMES**

The same day's price will be applied to transaction requests submitted by 15h00 (13h00 for all transactions involving money market funds) on any working day, provided that all supporting documents are provided and all FICA requirements\* have been met. Transaction requests received after these times will be processed the next available working day, once all requirements have been met, with the same cut-off times applying.

\* In line with FICA, Old Mutual Unit Trust Managers (RF) (Pty) Ltd has adopted a risk based approach to establish and verify the identity of individuals or entities it enters into business transactions with. This verification process may require for additional documentation. In the event of this, there may be a delay in processing your transaction instruction and in some instances this may result in the same day's price not being applied to instructions submitted by 15h00. The transaction will be applied once all additional verification processes have been completed.

Please complete this form using block letters and tick (✓) where appropriate.

**APPLICATION TO BUY UNITS**

I/We hereby apply for the number of units that can be purchased by the investment amount referred to below. All transactions are subject to the conditions of the relevant Trust Deed(s).

Do you already have an Old Mutual Unit Trusts investment? No  Yes

If YES, please provide your unit trust number

Does this application to buy units include a Money Market Unit Trust Fund? No  Yes

**1. CLIENT ENTITY DETAIL**

**FULL NAME(S) OF THE LEGAL ENTITY IN WHICH THE INVESTMENT IS HELD**

Entity Name

Entity Trade Name (if different from the legal entity name)

Country of Organisation or Incorporation

Type of Entity  Listed Company  Unlisted Company  Trust  Partnership  Close Corporation  Other

Entity Registration Number  Entity Registration Date  **D D M M Y Y Y Y**

Entity Tax Number  Entity VAT Number

Entity's Registered Address  Postal code

Country of address



1. CLIENT ENTITY DETAIL CONTINUED

Entity Trade Address

Postal code

Country of address

Telephone business 



  
(For eg. South Africa +27)

Entity email address 



 (Old Mutual's preferred method of communication is email)

2. DETAILS OF AUTHORISED PERSON (MANDATORY)

Please complete if you are acting on behalf of the contracting party and/or controlling person.

Power of Attorney    Curatorship    Authorised by entity as authorised person (documentation required, e.g. a resolution)

Title and surname

Full first names

Gender: Male  Female

Type of Identification (ID or Passport) Refugee	Country of issue (ID or passport)	ID/Passport number	Issue date	Expiry date of passport

Other  State type eg. Social security number 



 Country of citizenship:

Country of birth: 



 Country of residence: 



 Country of nationality:

Residential address

Postal code

Country of address

Is the residential address provided a **care of (c/o)\* address**? Yes  No

\* Care of: Select "Yes", if you do not have a residential address of your own and require for your post to be directed to another person.

If "Yes", please provide name of property owner or name of person who holds the rental agreement.

Postal address (if different from above address)

Postal code

Country of address

Cellphone 



  
(For eg. South Africa +27)

Telephone (Home) 



  
(For eg. South Africa +27)

Telephone (Work) 



  
(For eg. South Africa +27)

E-mail Address

Old Mutual Unit Trusts' preferred method of communication is e-mail



3. HOW TO INVEST

Old Mutual Unit Trusts is under no obligation to accept below minimum investments and reserves the right not to debit or to cease debiting your account under certain circumstances. If no selection is made, distributions are automatically reinvested. To view the Effective Annual Cost (EAC) of your investment, visit [www.oldmutualinvest.com](http://www.oldmutualinvest.com).

Lump sum investment

A Please debit my bank account with \*  on 

D	D	M	M	C	C	Y	Y		

\* The transaction reference you will view on your bank statement for this instruction will be OM UNITTRU followed by your unit trust fund account number.

OR

B I will transfer via EFT  into Old Mutual Unit Trusts' bank account

STEPS TO FOLLOW FOR AN EFT (ELECTRONIC FUNDS TRANSFER) PAYMENT

- Email your completed application form and supporting documents to [uttransactions@oldmutual.com](mailto:uttransactions@oldmutual.com).
- Once we have received all your documentation, we will email your confirmation letter reflecting our bank account details and your unit trust client account number. Please use your client account number in your reference when making an Electronic Funds Transfer (EFT).
- Please Email proof of payment of the investment amount to [uttransactions@oldmutual.com](mailto:uttransactions@oldmutual.com) by 13:00 for Money Market Fund and 15:00 for all other Funds. Proof of payments received after these cut-off times will be processed the next working day with the same cut-off times applying. The investment will be processed according to the processing requirements set out on Page 1 of this form.

For any further assistance in finalising your investment you may contact our Service Centre at 0860 234 234 or +27(0)21 503 1770.

Regular Investment

Please select only one debit order date for your contract 

1	3	7	15	20	27

Please allow at least 10 days' notice.

Commencing month of your debit order 

--	--	--	--	--	--	--	--	--	--

Please select an annual percentage increase: 5%  10%  15%  or  %

You can increase your debit order on the anniversary date of your investment contract to counteract the effects of inflation on your investment.

Please click [here](#) to view the full range of Old Mutual Unit Trust funds available to you for investment.

Name your investment contract (e.g John's Education/Overseas Trip

UNIT TRUST NAME	LUMP SUM AMOUNT	DEBIT ORDER AMOUNT
	R	R

DISTRIBUTIONS SELECTION:

Payout  Re-invest to existing fund account

Re-invest to new fund account Name of Fund Account:

4. INCOME VERIFICATION

We require that you confirm your source of income and source of funds for this transaction in order for us to process your investment.

Source of income: Salary  Bonus  Inheritance  Retirement benefit  Other

Source of funds for this transaction



5. CONFIRMATION OF TAX STATUS FOR WITHHOLDING TAX

Please note that Old Mutual Unit Trusts will withhold Dividends Tax at the applicable rate stipulated in legislation until we are in possession of your correctly completed and signed declaration which stipulates exemptions or reduced tax rates claimed. This will reflect on your IT3B.

Please indicate the reason why you (the investor or representative of the investor) are exempt from the dividends tax:

- (a) A company or close corporation which is resident in South Africa
(b) The government, provincial government or municipality (of the Republic of South Africa)
(c) A public benefit organisation (approved by SARS i.t.o. section 30(3) of the Income Tax Act)
(d) A trust contemplated in section 37A of the Income Tax Act (e.g. mining rehabilitation trusts)
(e) An institution, a body or board contemplated in section 10(1)(cA) of the Income Tax Act (e.g. Water Board, Tribal Authority etc.)
(f) A fund contemplated in section 10(1)(d)(i) or (ii) of the Income Tax Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund)
(g) A person defined in section 10(1)(t) of the Income Tax Act (e.g. CSIR, SANRAL etc.)
(h) A shareholder in a registered micro business as defined in the Sixth Schedule to the Income Tax Act, to the extent that the aggregate amount of the dividends paid by that registered micro business to its shareholders during the year of assessment in which that dividend is paid does not exceed R200 000
(i) A small business funding entity as contemplated in section 10(i) (cQ) of the Act
(j) a person that is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of "dividend" in section 64D (i.e. a dividend on a foreign company's shares listed in SA, such as dual-listed shares)
(k) A portfolio of collective investment schemes in securities
(l) Any person to the extent that the dividend constitutes income of that person (i.e. falls into the normal tax system)
(m) Fidelity and indemnity funds contemplated in section 10 (1)(d)(iii) of the Income Tax Act
(n) Other
(o) Double Taxation Agreement
(p) Other International Agreement

Declaration in terms of section 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) of the Act:

I/We [signature box] (full names in print please), the undersigned, hereby declare that dividends paid to the investor are 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. I/We undertake to inform the Withholding Agent in writing should the circumstances of the investor referred to in the declaration above change.

I/We acknowledge that it is the sole responsibility of the Beneficial Owner to ensure that this declaration is completed timeously and that the information provided is accurate and complete. Old Mutual Unit Trust Managers (RF) (Pty) Ltd will not be liable for any expenses or damages due to non-submission or late submission of the form, or where the document submitted is incorrectly completed or only partially completed. I/We agree that it is the sole responsibility of the Beneficial Owner to comply with all requirements and obligations in relation to DWT as set out in the Act from time to time. I/We certify that I/we am/are duly authorised to sign this declaration on behalf of the Beneficial Owner.

Authorised signatory/ies [signature box] Date [DDMMYYYY grid]

UNDERTAKING in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I [signature box] (full names in print please), 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.

Signature (Duly authorised to do so) [signature box] Date [DDMMYYYY grid]

Capacity of Signatory: (if not the beneficial owner) [signature box]

I confirm that the exemption claimed above applied from: The date I first invested [checkbox] Or From the following date [DDMMYYYY grid]

Signature (Duly authorised to do so) [signature box] Date [DDMMYYYY grid]

Capacity of Signatory: (if not the beneficial owner) [signature box]



6. ENTITY BANK DETAILS

Deductions cannot be made from credit cards. Debit orders can only be raised from the Entity owned account.

BANK DETAILS FOR FUNDING INVESTMENTS (I/We will fund this and all future payments from this account.)

The investment payment is made from:

Name

Bank and branch

Branch code and account number

Account type: Current  Savings

7. AUTOMATED REGULAR WITHDRAWALS (Electing to have distributions paid out is not considered as a withdrawal)

Please sell units to the value of  R from my  Fund, every month/quarter/six months/year (circle payment frequency). Starting  (date).

SCHEDULED SWITCHES

Please note that only scheduled phased switches from a Money Market account is accepted.

Please sell units to the value of  R from my Money Market Fund, every month/quarter/six months/year (circle payment frequency). Starting  (date).

8. OLD MUTUAL SHARI'AH-COMPLIANT FUND RANGE

I agree that any income deemed to be non-permissible by the Shari'ah Supervisory Board will be paid to the charitable trust elected by the Shari'ah Supervisory Board in line with the principles of Shari'ah and the supplemental deed of the unit trust. I acknowledge that this does not form part of my income and will not reflect on my tax certificate.

Date

Signature of investor

9. ACCEPTANCE OF ADVICE

A I/We am/are solely responsible for my/our investment choices and their associated outcomes, and acknowledge that I/we have entered into this transaction without obtaining financial advice as that is my/our preference. As a result, no initial charge will be levied on any investment of R500 (the general unit trust minimum) or more.

OR

B I/We hereby confirm that, where applicable, the Investment relevant intermediary (adviser or broker) has satisfied me/us that he/she is authorised to render financial services in respect of this product.

Do you want to appoint this intermediary as your Preferred Servicing Intermediary (PSI) for all your future Old Mutual financial services needs?

YES, I/we appoint and give the PSI access to information on all my/our existing Old Mutual financial services products.

NO, I/we will complete an Intermediary Appointment Note (IAN) selecting my/our servicing intermediary of preference per category of Old Mutual financial services product.



**10. INSTRUCTION FOR PAYMENT OF ADVISER FEES (If applicable)**

**Note: Fees to the adviser can only be applied if this section is fully completed for all fees agreed.**

**INITIAL ADVISER FEE**

An initial adviser fee has been agreed as follows (subject to the maximums for each unit trust, stipulated on the unit trust fund fact sheet). The applicable amount will be deducted prior to the purchase of units.

% incl. VAT (max. 3.45% incl. VAT) for interest bearing, equity/multi asset unit trusts and all Shari'ah managed unit trusts, which is  (incl. VAT)

(Note: If % and rand amount differ, the % holds.)

**ANNUAL ADVISER FEE**

In addition, you may elect to pay an ongoing annual adviser fee. This fee is negotiated between yourself and your adviser or broker, and is over and above the initial adviser fee stipulated above.

Yes  No

If Yes, specify percentage . % incl. VAT (max. 1.15% p.a. incl. VAT) of your discretionary (non-retirement savings) unit trust portfolio.

Note that this instruction overrides all existing annual adviser fee agreements.

from  Fund (one unit trust only)  (unit trust account number)

OR

proportionally across all my unit trusts.

This annual fee is calculated as a percentage of the value of your discretionary or tax-free unit trust portfolio(s). All unit trust retail classes which make up the invested portfolio are included in this calculation. The annual adviser fee is deducted monthly, through the sale of units from the nominated unit trust/s. This is thus a capital gains tax event. If this fee is being paid from a single unit trust and there is at any time an insufficient number of units in the unit trust, the fee will automatically be deducted from your Money Market Fund, failing which, the largest unit trust in your portfolio. Where investments are held in more than one class in the same unit trust, the fee will be deducted from the class open to new business. You will receive confirmation of the implementation of this fee, any adjustments made to the annual percentage or to the unit trust, as well as the cancellation thereof. This fee is based on an agreement between the client and the Financial Planner. You need to take into account whether your Planner is VAT registered. Old Mutual Unit Trusts is not a party to the agreement and will cancel the fee on the written instruction of either party. The fee will further be automatically cancelled by a change in the appointed Financial Planner. Old Mutual Unit Trusts will change any erroneous instructions received, but will not rectify prior payments based on erroneous instruction.

Date 

D	D	M	M	C	C	Y	Y
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Signature of investor

**11. DECLARATION BY ADVISER**

\_\_\_\_\_

\_\_\_\_\_

**I, the undersigned, hereby declare and warrant that I am duly authorised to render financial services in respect of this product.** All parties concerned have been identified and verified and all relevant documentation has been obtained and appropriate procedures have been applied in accordance with FICA (Act 38 of 2001). I confirm that all personal information is true and correct and there are no anomalies to my knowledge.

Name of introducer       Branch       Intermediary/Broker code       Tel. no.

Introducer's email address       Signature of introducer



## 12. SUPPORTING DOCUMENT REQUIREMENTS

To comply with FICA requirements, investors must supply the applicable documents listed below before we can process your investment. For a detailed list reference of verification requirements please [click here](#).

### ONLY TESTAMENTARY TRUSTS DO NOT NEED TO COMPLY WITH FICA REQUIREMENTS. THEY NEED ONLY SUBMIT:

- A copy of the last will and testament
- A letter of authorisation from the Master.

### ALL OTHER INSTITUTIONAL INVESTORS MUST SUBMIT:

- Proof of physical address that is less than three months old, for example, a utility bill
- Identity documents for each member, trustee, or partner, or representative exercising executive control and authorised to enter into a transaction with us.

### PENSION FUND ORGANISATIONS MUST ALSO SUBMIT:

- Name and address of the legal entity that established the pension fund organization;
- Registered rules of the Fund
- Registration certificate of the Fund

### CLOSE CORPORATIONS CC MUST ALSO SUBMIT:

- Copy of Founding Statement and Certificate of Incorporation (form CK1).
- Amended Founding Statement, if applicable (form CK2).
- Contact details for each member and all authorised representatives
- Proof of authority to act on behalf of the close corporation (signed by all representatives)

### PARTNERSHIPS MUST ALSO SUBMIT:

- Partnership agreement or other founding document
- Residential address and contact details of all partners, all authorised representatives, and representatives exercising control
- Proof of authority to act, for example, a resolution (if applicable)
- Applicable documents of any institution exercising executive control holding 25% or more of the voting rights at a general meeting.

### TRUSTS (EXCEPT TESTAMENTARY TRUSTS) MUST ALSO SUBMIT:

- Trust deed or other founding document
- Letters of authorisation by the Master
- Copy of identity documents of beneficiaries
- Resolution by the trustees authorising one person to act on behalf of the trust (if applicable)
- Residential address and contact details of all trustees, beneficiaries, founder members and anyone authorised to enter into transaction with us on behalf of the Trust
- A Death Certificate if the founder has died or a Certificate of Deregistration if the trust no longer exists.

### ALL SOUTH AFRICAN AND FOREIGN COMPANIES MUST ALSO SUBMIT:

- Identity documents (or passports) and residential address and contact details for the manager, all authorised representatives and all individuals holding 25% or more of the voting rights at a general meeting
- Official document from foreign regulator witnessing the incorporation, bearing the foreign company's name, number and address
- Proof of authority to act on behalf of the company, for example, a resolution
- Company Register to confirm who holds 25% or more voting rights in the company
- Name, address, and appropriate founding document of any institution that holds 25% or more of the voting rights (For South African companies, this is CoR 15.1 (A-E).

#### South African companies created before 1 May 2011 must also submit:

- Copy of Certificate of Incorporation (CM1)
- Notice of Registered Office and Postal Address (CM22)
- Copy of the Contents of Register of Directors, Auditors & Officers (CM29)

Please also submit a Certificate of Name Change (CM9) if it applies.

#### South African companies created after 1 May 2011 must also submit:

- Memorandum of Incorporation (CoR 15.1 (A-E))

Please submit the following notices if they apply:

- Incorporation or Amended CoR14.1 (for name changes that differ from trade name. The trade name must conform to the Consumer Protection Act (if applicable)
- Notice of Amendment (CoR 15.2)
- Notice of Alteration (CoR 15.3)
- Notice of Translation (CoR 15.4)
- Notice of Location of Company Records (CoR 22)
- Annexure – Directors of External Company (CoR 20.1)
- Notice of Change of Address (CoR 21)
- Notice of Change of Company Directors (CoR 39)
- Notice of Change of Company Auditors and Company Secretary (CoR 44).



### 13. PROTECTION OF PERSONAL INFORMATION

Old Mutual would like to offer you ongoing financial services and may use your personal information to provide you with information about product or services that may be suitable for your financial needs.

Please indicate here if you do not wish to receive this.

We may use your information or obtain information about you for the following purposes:

- Fraud prevention and detection
- Market research and statistical analysis
- Audit & record keeping purposes
- Compliance with legal & regulatory requirements
- Verifying your identity
- Sharing information with service providers we engage to process such information on our behalf or who renders services to us.

These service providers may be abroad, but we will not share your information with them unless we are satisfied that they have adequate security measures in place to protect your personal information.

You also have the right to complain to the Information Regulator, whose contact details are:

<http://www.justice.gov.za/inforeg/index.html>

Tel: 021 406 4818

Fax: 086 500 3351

Email: [inforeg@justice.gov.za](mailto:inforeg@justice.gov.za)

You may access the personal information that we hold and request us to correct any errors or to delete this information. To view our full privacy notice and to exercise preferences, visit our website on [www.oldmutualinvest.com](http://www.oldmutualinvest.com).

### 14. ENTITY TAX DECLARATION (MANDATORY)

South Africa's financial institutions are obliged to collect (and report on) certain information in terms of:

- The Foreign Account Tax Compliance Act which ultimately seeks to prevent United States (US) taxpayers from avoiding US tax by facilitating the declaration of all income received outside the US.
- Regulations issued to implement The Common Reporting Standards issued by the Organisation for Economic Co-operation and Development for the automatic exchange of certain financial information, on an annual basis, across various participating jurisdictions.

We, as a responsible financial institution, are obliged to comply with this legislation and the information encapsulated in this form enables us to do so.

#### IMPORTANT NOTES

This section must be completed by the authorised person - investing on behalf of an entity, an entity being a legal person or a legal arrangement such as a trust or partnership. Please note that certain information provided in the main application form is considered part and parcel of this form but is not repeated here.

This section consists of the following:

- Contracting Party Nature, Classification & Tax residency;
- Protection of Personal Information (PPI)
- Controlling Person(s) self-certification;
- Authorised Person information and declaration.

Should any information you provide change at a later stage, please ensure that we are advised of such change(s) promptly. Should you have any questions about how to complete this form, please contact your tax adviser.

Please refer to Annexure B (Explanatory memorandum) for summaries of some of the terms used in the body of this document.





**14. ENTITY TAX DECLARATION** CONTINUED

**1. NATURE OF ENTITY (MANDATORY)**

Please select (✓) the classification that best describes the entity or branch and select (✓) the \*Foreign designation if the entity is registered or organised outside of South Africa.

Nature of Entity	South African	*Foreign
Close corporation		
<b>Companies</b>		
· Listed company		
· Public unlisted company		
· Private company		
<b>Funds</b>		
· Retirement fund (in RSA, this would be a pension, provident, preservation pension, preservation provident & retirement annuity)		
· Other funds (medical aid fund, rehabilitation fund, collective investment scheme)		
Government/Provincial Administration/Municipality or any legal entity 100% owned by any of the three mentioned entity types or a combination of the three mentioned entity types		
Other entity types (club, association, informal body, burial society, church, school, stokvel)		
Partnership		
Trust		

If your entity classification is **other entity funds** or not listed above, please specify below:


Is the entity a charitable organisation? Yes  No

**2. ENTITY CLASSIFICATION FOR FATCA AND OECD CRS (MANDATORY)**

The entity will either be classified as a Non-Financial Entity or a Financial Institution. Please refer to Annexure B for the definitions of these classifications.

Depending on the classification selected, please proceed to complete either 2.1 (Non-Financial entity) or 2.2 (Financial Institution) below.

**2.1 NON-FINANCIAL ENTITY**

Please complete section 2.1.1 and 2.1.2, and if the entity is an Active NFFE/NFE section 2.1.3.

For purposes of this section note that the most common form of an Active NFFE/NFE is an entity where less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the entity during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income. Other Active NFFE's/NFE's are detailed in Annexure A.

Passive income is often described as income from investment activities rather than operating activities. If the entity is not a Financial Institution or Active NFFE/NFE, it will be a **Passive NFFE/NFE**.

**2.1.1 NON-FINANCIAL ENTITY|FATCA**

For FATCA, if the entity is not a Financial Institution, it will be classified as a Non-Financial Foreign Entity unless it is a US Person (which includes a US Specified Person).

Please select (✓) the applicable entity classification below:

<input type="checkbox"/> Specified US person Please attached completed W9	<input type="checkbox"/> US person that is not a Specified US person Please attached completed W9
<input type="checkbox"/> Active NFFE Please complete Section 2.1.3 below	<input type="checkbox"/> Passive NFFE Please complete a controlling person self-certification form for each controlling person as defined in Annexure A.

**2.1.2 NON-FINANCIAL ENTITY|CRS**

Please select (✓) the applicable entity classification below:

<input type="checkbox"/> Active NFE 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. Please complete Section 2.1.3 below	<input type="checkbox"/> Active NFE A government entity, a central bank or an international organisation.
<input type="checkbox"/> Active NFE Other than as detailed above. Please complete Section 2.1.3 below	<input type="checkbox"/> Passive NFE Please complete a controlling person self-certification form for each controlling person as defined in Annexure C.



**14. ENTITY TAX DECLARATION CONTINUED**

**2.1.3 ACTIVE NFFE/NFE (ADDITIONAL INFORMATION)**

Please select (✓) the applicable entity classification below, being either a, b or one of c's classifications, if you have answered under FATCA (refer 2.1.1)/CRS (refer 2.1.2) that you are an Active NFFE/NFE.

a) The Account Holder is a corporation, the stock of which is regularly traded on

which is an established securities market; or

b) The Account Holder is a related Entity of

a corporation, the stock of which is regularly traded on

which is an established securities market; or

c) Note that an "Active NFFE" means any NFFE that meets any of the criteria described in annexure A (explanatory memorandum), (a) to (j).

The account holder is one of the following:

- Active business – refer to (a) of definition
- Holding company that is a member of a non-financial group – refer to (e) of definition
- Start-up Company – refer to (f) of definition
- Liquidating Company – refer to (g) of definition
- Financial Company of a non-financial group – refer to (h) of definition
- Charity or non-profit organisation – refer to (j) of definition, including an entity approved in terms of S30(3) of the Income Tax Act as a Public Benefit Organisation
- If other, please specify:

**2.2 ENTITY CLASSIFICATION | FINANCIAL INSTITUTION**

Please complete sections 2.2.1 and 2.2.2.

**2.2.1 FINANCIAL INSTITUTION | FATCA**

If the entity is a Financial Institution, then please select (✓) the applicable entity classification from the criteria list from (a) to (f), and please complete any additional information required by the sub-section.

a) The Entity is a Reporting Financial Institution, please select (✓) the applicable classification:

- A Reporting South African Financial Institution
- A Reporting Financial Institution operating in another country which has entered into an IGA with the USA
- A Participating Financial Institution – A Financial Institution in a country without an IGA with the US, where the Financial Institution has entered into an agreement with the US Internal Revenue Services (IRS) to comply with the FATCA regulations

X X X X X X . X X X X X . X X . X X X

GIIN number

If the entity cannot provide a Global Intermediary identification number, please indicate the reason below:

- The entity has not yet obtained a GIIN but is required to and has applied. Advise us of the GIIN as soon as it has been issued.
- The entity has not obtained a GIIN but will be applying for one. Advise us of the GIIN as soon as it has been issued.
- The entity is a Non-Participating Foreign Financial Institution (IGANPFFI).



14. ENTITY TAX DECLARATION CONTINUED

b) The Entity is a Deemed Compliant Foreign Financial Institution (as defined in FATCA regulations or the South African IGA). Please select (✓) the applicable classification:

- Foreign financial institution with only low value account
- Local foreign financial institution/financial institution with a local client base
- Limited life debt investment entity
- Investment advisers and investment managers
- Non-registering local bank
- Non-reporting member of a participating foreign financial institution group
- Qualified collective investment vehicle
- Qualified credit card issuer
- Restricted fund
- Sponsored, closely held investment vehicle
- Sponsored investment entity or controlled foreign corporation
- Trustee documented trust
- Other – please specify

\_\_\_\_\_

Where the entity is a Sponsored Investment Entity, Controlled Foreign Corporation, Sponsored Closely Held Investment Vehicle or a Trustee Documented Trust, please provide the following details.

Name of sponsor

X X X X X X . X X X X X X . X X . X X X

Sponsor GIIN number

X X X X X X . X X X X X X . X X . X X X

Own GIIN number

c) A Financial Institution that is located in a jurisdiction that does not have an IGA with the US, and which (1) has not entered into a FATCA agreement with the IRS (2) which is not a Deemed Compliant Financial Institution and (3) which is not an Exempt Beneficial Owner.

- The Financial Institution is a Non-Participating Foreign Financial Institution

- d)  The Financial Institution is a Specified US Person – Please attach completed W9
- e)  The Financial Institution is a US person but not a Specified US Person – Please attach completed W9

f) The Entity is an Exempt Beneficial Owner (EBO) as defined in the FATCA regulations or the South African or other IGA.

- Please select (✓) the applicable classification:
- A South African Retirement Fund (registered in terms of the Pension Funds Act or established by law)
  - Any other retirement fund/pension scheme that is an Exempt Beneficial Owner and non-reporting Financial Institution in terms of the FATCA regulations or another country's IGA with the US
  - A South African Government entity
  - An International Organisation
  - The South African Reserve Bank or a foreign central bank of issue
  - A Foreign Government, any political subdivision of a foreign government, or any wholly owned agency or instrumentality of any one or more of the foregoing
  - Any investment entity wholly owned by one of the above Exempt Beneficial Owners
  - Other – please specify

\_\_\_\_\_



14. ENTITY TAX DECLARATION CONTINUED

2.2.2 FINANCIAL INSTITUTION|CRS (MANDATORY)

Please select (✓) the applicable classification:

- The entity is an Investment Entity located in a jurisdiction that is not participating in CRS managed by a Financial Institution. If you have selected this classification, please also complete Section 7 (Group Structure) if applicable, and a Self-Certification Form for each controlling person as defined in Annexure A.
- The entity is a Financial Institution under CRS unless above classification applies (this includes Reporting and Non-Reporting Financial Institutions such as a pension scheme, government entities and international organisations.)

3. ENTITY TAX RESIDENCY DETAILS (MANDATORY)

As a financial institution we are obliged to comply with international agreements signed by our government aimed at combatting tax evasion. In terms of these agreements, we are required to collect information regarding where you are resident for tax purposes including the related tax reference numbers. If the entity is a resident for tax purposes in a country other than South Africa, certain aspects of your information will be shared with the South African Revenue Services, who will automatically share this information with the participating countries where required. Please note that tax residency is per country – it is thus possible for an entity to be tax resident in multiple countries.

Please answer the questions that follow and complete your tax reference number(s) in the table below, selecting a YES/NO for each question below. (At a minimum answering whether you are resident for tax purposes in South Africa, the United States of America and in another country.)

NB: The income tax reference number is mandatory where the (\*) is indicated.

Country resident in for tax purposes	Yes	No	Please specify country resident in for tax purposes	Income tax reference number (*mandatory)
Are you a resident for tax purposes in South Africa?			South Africa	
Are you a citizen and/or resident for tax purposes in the United States of America?			United States of America	*
Specify other countries:				
Are you a resident for tax purposes in another country?				*
Are you a resident for tax purposes in another country?				*
Are you a resident for tax purposes in another country?				*

\*Where the tax reference number is mandatory and you do not have an income tax reference number (TIN), provide a reason based on the descriptions below:

- Reason A – The country/jurisdiction does not issue TINs to its residents.
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (if you have selected this reason, please provide an explanation below as to why you are unable to obtain a TIN):  
.....  
.....
- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction.)

4. DECLARATIONS AND UNDERTAKINGS

- I acknowledge that the making of a false statement:
  - may lead to an administrative penalty or criminal sanction; and
  - will, to the extent that the laws of the United States of America apply, constitute perjury and lead to penalties.
- I declare that I have examined the information on this form, and given on the main application form which I understand forms part of this self-certification, and to the best of my knowledge and belief it is true and correct.
- I undertake to advise Old Mutual within 30 days, where information contained in this form changes, and to provide updated or additional Controlling Person Self-certification forms should controlling parties changes or details of current controlling parties change.
- I understand that Old Mutual may be legally obliged to disclose information in this form to the South African Revenue Services and other legal authorities

I, as the authorised signatory of Contract/Account/Policy number  declare that I have read the declaration and understand its implications.

Signed at (place)  on (date) 

D	D	M	M	Y	Y	Y	Y
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Signature of authorised person (on behalf of the contracting party)

Signature of controlling person



## 15. DISCLAIMER

We aim to treat our clients fairly by giving you the information you need in as simple a way as possible to enable you to make informed decisions about your investments.

- We believe in the value of sound advice and so recommend that you consult a financial adviser before buying or selling unit trusts. You may however, buy and sell without the help of a financial adviser. If you do use a financial adviser, we remind you that they are entitled to certain negotiable adviser fees or commissions.
- You should ideally see unit trusts as a medium to long term investment. The fluctuations of particular investment strategies affect how a fund performs. Your fund value may go up or down. Therefore, we cannot guarantee the investment capital or return of your investment. How a fund has performed in the past does not necessarily indicate how it will perform in the future.
- Our cut-off time for client instructions (e.g. buying and selling) is at 15:00 each working day for all funds, except the Money Market Funds, which is at 13:00. These are also the times we value our funds to determine the daily ruling price (other than at month-end when we value the Old Mutual Index Funds and Old Mutual Multi-Managers Fund of Funds ranges at 17:00 close). Daily prices are available on our public website ([www.oldmutualinvest.com](http://www.oldmutualinvest.com)) and in the media.
- The daily ruling price is based on the current market value of the fund's assets plus income minus expenses (NAV of the portfolio) divided by the number of units in issue.
- The fund fees and costs that we charge for managing your investment is accessible on the relevant fund's minimum disclosure document (MDD) or Table of fees and charges, both available on our public website ([www.oldmutualinvest.com](http://www.oldmutualinvest.com)), or from our contact centre (0860 234 234).
- Additional information on this proposed investment can be obtained, free of charge, from our public website or our contact centre.
- Funds may borrow to pay client disinvestments and may engage in scrip lending. A process of ring-fencing of withdrawal instructions and managed pay-outs over time may be followed should excessive withdrawals from a fund place the fund under liquidity pressures.
- Old Mutual Unit Trust Managers (RF) (Pty) Ltd has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- Old Mutual Unit Trust Managers (RF) (Pty) Ltd is a registered manager in terms of the Collective Investment Schemes Control Act 45 of 2002.
- Old Mutual is a member of the Association for Savings & Investment South Africa (ASISA).

### **Money Market Funds:**

A Money Market Fund is not a bank deposit account. Its unit price aims to be constant but investment capital is not guaranteed. The total return is primarily made up of interest (declared daily at 13:00) but may also include any gain/loss on any particular instrument. In most cases this will merely have the effect of increasing or decreasing the daily yield, but in the case of abnormal losses, it can have the effect of reducing the capital value of the fund. The published yield is calculated using the average of the fund's previous seven days' net income (and assumes all income was reinvested). This figure is then annualised, which is the weighted average compound growth rate. A process of ring-fencing of withdrawal instructions and managed pay-outs over time may be followed should excessive withdrawals from a fund place the fund under liquidity pressures.

### **Income Funds:**

Income funds derive their income primarily from interest-bearing instruments as defined. The published yield is a current yield and is calculated daily. The value of underlying assets of Income funds are marked to market on a daily basis.

### **Fund of Funds:**

A fund of funds is a portfolio that invests in other funds in order to meet the investment objective of the fund of funds. Fund of funds can invest in local, foreign or offshore funds which levy their own charges, and may result in a higher fee structure.

### **Feeder Funds:**

A feeder fund is a portfolio that invests all of its capital in a single underlying fund. This underlying fund can be a local, foreign or offshore fund and levy its own charges which may result in a higher fee structure.

### **Third-Party Named Funds (co-branded):**

Old Mutual Unit Trust Managers (RF) (Pty) Ltd is the manager of Adviceworx, Old Mutual Multi-Managers and Public Investment Corporation SOC Limited suites of co-branded funds and retains full legal accountability.

### **Funds holding foreign assets:**

Some funds hold assets in foreign countries and therefore may have risks, in these countries, regarding liquidity, the repatriation of funds, political and macro-economic situations, foreign exchange, tax, settlement and the availability of information.



16. DECLARATION OF AUTHORISED SIGNATORY/IES

Signed by Investor or appointed person acting on behalf of the Investor as completed on Page 2 of this form.

- I agree to accept the number of units sold to me by virtue of this application and I warrant that I have full power and authority to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- I/we am aware that this product offers no cooling-off rights.
- I/we know that the cost of buying units may include an initial charge plus VAT, depending on the amount invested and whether or not I use an intermediary, and that there are no guarantees on my capital.
- I/we acknowledge that there are further allowable deductions from the unit trust/s (e.g. an annual service fee) that impact on the value of my investment.
- I am satisfied that the facts provided are accurate and complete. I am aware of the unit trust's/unit trusts' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s.
- I/we acknowledge that Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- I/we have read and fully understood all the pages of this application form.
- I/we acknowledge that I am responsible for ensuring that my contact details are up to date and in the event of my assets being declared unclaimed, Old Mutual Unit Trust Managers (RF) (Pty) Ltd will take action to trace me. All such costs shall be borne by me and maybe deducted from the value of my investment on an ongoing basis or once I have been located.
- I/we hereby authorise Old Mutual Unit Trust Managers (RF) (Pty) Ltd to debit the account mentioned above with the monthly amount/lump sum specified.
- I/we further authorise Unit Trust Managers (RF) (Pty) Ltd to accept instructions from me via facsimile (please delete if not applicable).
- We aim to treat our clients fairly by giving you the information you need in as simple a way as possible to enable you to make informed decisions about your investments.
- I/we am aware that I may view the Effective Annual Cost (EAC) of my investment on [www.oldmutualinvest.com](http://www.oldmutualinvest.com). Once my investment has been processed, Old Mutual Unit Trust Managers (RF) (Pty) Ltd will confirm the EAC to me in writing.
- I/we have read and am aware of the unit trust's/unit trusts' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s (Minimum Disclosure Document).
- I/we warrant that all the information given in this form, and in the additional documentation specifically requested by Old Mutual Unit Trust Managers (RF) (Pty) Ltd, as well as in any documentation which will be or has been supplied and signed by me in connection with this form, is true and correct and as per my instructions, whether in my handwriting or not.
- I/we undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should information contained in this form change.
- I/we understand that Old Mutual Unit Trust Managers (RF) (Pty) Ltd may be legally obliged to disclose information in this form and in any other documentation supplied in connection with this contract to the South African Revenue Services and other legal authorities.
- I/we take note that in some instances, income may be reflected as "interest income" but accept that such income is fully Shari'ah compliant and has been approved as such by the Shari'ah Supervisory Board.

Date 

D	D	M	M	Y	Y	Y	Y

Authorised signatory 

--

Date 

D	D	M	M	Y	Y	Y	Y

Authorised signatory 

--

CONTACT DETAILS

**Old Mutual Unit Trust Managers (RF) (Pty) Ltd**  
 Registration no.: 65/08471/07  
 VAT no.: 4230116479  
 Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa  
 PO Box 207, Cape Town 8000, South Africa  
 Telephone no.: +27(0)21 503 1770  
 Helpline: 0860 234 234  
 Internet address: [www.oldmutualinvest.com](http://www.oldmutualinvest.com)  
 Email: [unittrusts@oldmutual.com](mailto:unittrusts@oldmutual.com)  
 Complaints may be directed to the Client Relationship Manager at the above address. Our complaints process is available via our website [www.oldmutualinvest.com](http://www.oldmutualinvest.com) or by contacting 0860 234 234.  
 Compliance Department: +27(0)21 503 1770

**Old Mutual Investment Administrators (Pty) Ltd**  
 Registration no.: 1988/003478/07  
 Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa  
 PO Box 5408, Cape Town 8000, South Africa  
 Telephone no.: +27(0)21 503 1770  
 Compliance Department: +27(0)21 503 1770  
 Professional indemnity cover and fidelity insurance cover are in place.  
 Old Mutual Investment Administrators (Pty) Ltd is a third party administration and service provider to Old Mutual Unit Trust Managers (RF) (Pty) Limited and is a licensed financial services provider.

Visit [www.oldmutualinvest.com](http://www.oldmutualinvest.com) for unit trust information, prices and news. Log in to view your portfolio online.

Clients who select email as their preferred correspondence method benefit from an enhanced communication offering.



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION

[Click here](#) to access additional Controlling Person Self-Certification Form

<b>Controlling Person(s)</b> (an individual who has control over an entity)	<b>Controlling persons include:</b> <ul style="list-style-type: none"> <li>· <b>For companies:</b> An individual that holds 25% or more “interest” in the company. Where a trust has a 25% “interest” in a company, each and every trustee, the settlor, the protector of the trust, the beneficiaries and any person exercising executive control over the trust are also regarded as controlling person(s) of the company. Where a company does not have a controlling person that is an individual, the controlling person(s) will be the person(s) who hold the position of senior managing official.</li> <li>· <b>For a close corporation:</b> Any member with a 25% “interest” in the Close Corporation.</li> <li>· <b>For a partnership:</b> Every partner, and any other person exercising executive control over the partnership.</li> <li>· <b>For a trust:</b> Each and every trustee, the settlor, the protector(s) of the trust, the beneficiaries and any person exercising executive control over the trust.</li> </ul>
<b>Interest</b>	<b>“Interest”</b> is defined either as a beneficial interest, ownership interest, or voting rights held directly or indirectly or a combination of both.

This form is to be completed by individuals that are controlling persons, by them or their authorised representative, or the authorised representative of the contracting party.

Entity registration name

Entity registration number

**Please complete if you are acting on behalf of the controlling person.**

Power of Attorney  Curatorship  Legal Guardian  Parent  Authorised representative of contracting party

If parent, please indicate whether minor lives with you. Yes  No

**1. NATURE OF CONTROLLING RELATIONSHIP**

Please select (3) the appropriate classification:

- Beneficiary   
  Donor   
  Founder   
  Partner   
  Protector  
 Shareholder   
  Settlor   
  Trustee   
  Member of closed corporation  
 Any person exercising executive control of the Trust/Partnership or Senior Managing Official (Company)

Holding interest – Close Corporation/Shareholder  %

**2. PERSONAL DETAILS (MANDATORY)**

Please note all fields must be completed:

Title and surname

Full first names

Gender: Male  Female

Please provide details of your identifications, providing identification for each country for which you are a resident for tax purposes. If you are a resident for tax purposes in SA, please provide an identity number and not a passport number, unless you have not been issued with one.

Type of Identification (ID or Passport) Refugee	Country of issue (ID or passport)	ID/Passport number	Issue date	Expiry date of passport

Other  State type eg. Social security number

Country of citizenship:

Country of birth:

Country of residence:

Country of nationality:



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

3. TAX RESIDENCY DETAILS (MANDATORY)

As a financial institution we are obliged to comply with international agreements signed by our government aimed at combatting tax evasion. In terms of these agreements, we are required to collect information regarding where you are resident for tax purposes including the related tax reference numbers. If you are resident for tax purposes in a country other than South Africa, certain aspects of your information will be reported to SARS who will automatically share this information with the participating countries where required.

Each country has its own rules for whether a person is resident for tax purposes or not. It is possible to be resident for tax purposes in more than one country. Depending on the rules of the country, tax residency may be determined by factors such as where you permanently live, where you were born, or if you live and work in the country for more than half the year. If you are a US citizen or hold a US passport or green card, you will also be considered resident for tax purposes in the US even if you live outside the US, unless you have given up your citizenship.

Please answer the questions that follow and complete your tax reference number(s) in the table below, selecting a YES/NO for each question below. (At a minimum answering whether you are resident for tax purposes in South Africa, the United States of America and in another country.)

NB: The income tax reference number is mandatory where the (\*) is indicated.

Country resident in for tax purposes	Yes	No	Please specify country resident in for tax purposes	Income tax reference number (*mandatory)
Are you a resident for tax purposes in South Africa?			South Africa	
Are you a citizen and/or resident for tax purposes in the United States of America?			United States of America	*
Specify other countries:				
Are you a resident for tax purposes in another country?				*
Are you a resident for tax purposes in another country?				*
Are you a resident for tax purposes in another country?				*

\* Where the tax reference number is mandatory and you do not have an income tax reference number (TIN), provide a reason based on the descriptions below:

- Reason A – The country/jurisdiction does not issue TINs to its residents.
- Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (if you have selected this reason, please provide an explanation below as to why you are undable to obtain a TIN):  
.....  
.....
- Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction.)

CONTROLLING PERSON SELF-DECLARATION

- I acknowledge that the making of a false statement:
  - may lead to an administrative penalty or criminal sanction; and
  - will, to the extent that the laws of the United States of America apply, constitute perjury and lead to penalties.
- I declare that I have examined the information on this form and the attached documentation, specifically requested by Old Mutual. I declare that to the best of my knowledge and belief the information is true, correct, and complete and as per my instructions, whether in my handwriting or not.
- I undertake to advise Old Mutual within 30 days, where information contained in this form changes, and to provide updated or additional Controlling Person Self-certification forms should controlling parties changes or details of current controlling parties change.
- I understand that Old Mutual may be legally obliged to disclose information in this form to the South African Revenue Services and other legal authorities.

I, as the authorised signatory of Contract/Account/Policy number 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 declare that I have read the declaration and understand its implications.

Signed at (place) 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 on (date) 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Signature of authorised person (on behalf of the contracting party)  

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Signature of controlling person  

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--





**ANNEXURE B – EXPLANATORY MEMORANDUM**

The following explanatory notes have been compiled based on the U.S. Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (OECD CRS), as implemented in South Africa, via:

- the Inter-Government Agreement (IGA) between the Government of Republic of South Africa and the Government of the United States of America to improve international tax compliance and to implement FATCA.
- the SARS issued Regulations for the implementation of the OECD CRS.

If you have any questions about your organisation's classification, please contact your tax adviser or refer to the following documents:

- the IGA or Regulations for the implementation of the OECD CRS available from the South African Revenue Services website at [www.sars.gov.za](http://www.sars.gov.za).
- the Regulations issued by the US Treasury for FATCA.

<p><b>Active NFFE (FATCA)/Active NFE (CRS)</b></p>	<p>An "Active NFFE" means any NFFE that meets any of the criteria (a) to (j) below; while an "Active NFE" is any NFE that meets any of the criteria except those marked * below:</p> <ol style="list-style-type: none"> <li>Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</li> <li>The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;</li> <li>The NFFE is organised in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;</li> <li>The NFFE is a government (other than the U.S. government (FATCA)), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory (FATCA), an international organisation, a non-U.S. central bank of issue (for FATCA)/a Central Bank (CRS), or an Entity wholly owned by one or more of the foregoing;</li> <li>Substantially all of the activities of the NFFE/NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE/NFE shall not qualify for this status if the NFFE/NFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</li> <li>The NFFE/NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE/NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE/NFE;</li> <li>The NFFE/NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;</li> <li>The NFFE/NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;</li> <li>The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or</li> <li>The NFFE/NFE meets all of the following requirements:             <ol style="list-style-type: none"> <li>It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labor organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;</li> <li>It is exempt from income tax in its jurisdiction of residence;</li> <li>*It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>*The applicable laws of the NFFE's/NFE's jurisdiction of residence or the NFFE's/NFE's formation documents do not permit any income or assets of the NFFE/NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's/NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE/NFE has purchased; and</li> <li>The applicable laws of the NFFE's/NFE's jurisdiction of residence or the NFFE's/NFE's formation documents require that, upon the NFFE's/NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the NFFE's/NFE's jurisdiction of residence or any political subdivision thereof.</li> </ol> </li> </ol>
<p><b>Depository Institution (CRS and FATCA)</b></p>	<p>Entities that accept deposits in their normal course of business, such as banks.</p>
<p><b>Entity</b></p>	<p>A legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).</p>
<p><b>Financial Institution (CRS and FATCA)</b></p>	<p>Any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. An Entity holds Financial Assets for the account of others as a substantial portion of its business if the Entity's gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20 per cent of the Entity's gross income during the shorter of:</p> <ol style="list-style-type: none"> <li>the three year period that ends on 31 December (or the final day of a non-calendar year accounting period (FATCA)/the last day of February (CRS) prior to the Reporting Period in which the determination is being made; or</li> <li>the period during which the Entity has been in existence.</li> </ol>
<p><b>International Organisation</b></p>	<p>Any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation):</p> <ol style="list-style-type: none"> <li>that is comprised primarily of non-U.S. governments (FATCA)/that is comprised primarily of governments (CRS);</li> <li>that has in effect a headquarters agreement with South Africa or a non-US government (FATCA)/with the jurisdiction (CRS); and</li> <li>the income of which does not inure to the benefit of private persons.</li> </ol>
<p><b>Investment Entity (CRS)</b></p>	<p>Any Entity:</p> <ol style="list-style-type: none"> <li>that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:             <ol style="list-style-type: none"> <li>Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;</li> <li>Individual and collective portfolio management; or</li> <li>Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or</li> </ol> </li> <li>The gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity.</li> </ol>



ANNEXURE B – EXPLANATORY MEMORANDUM CONTINUED

<b>Investment Entity (FATCA)</b>	Any Entity that conducts as a business (or that is managed by a business that conducts as a business) one or more of the following activities or operations for or on behalf of a customer: a) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; b) individual and collective portfolio management; or c) otherwise investing, administering, or managing funds or money on behalf of other persons.
<b>Non-Financial Entity (NFE) (CRS)</b>	Any Entity that is not a Financial Institution.
<b>Non-Financial Foreign Entity (NFFE) (FATCA)</b>	Any Non-U.S. Entity that is not "a Foreign Financial Institution" as defined in relevant U.S. Treasury Regulations or is an Entity described in the Active NFFE definition below, and also includes any Non-U.S. Entity that is established in South Africa or another Partner Jurisdiction and that is not a Financial Institution.
<b>Passive NFE (CRS) for the purposes of this form</b>	Any NFE that is not an Active NFE.
<b>Passive NFFE (FATCA)</b>	Any NFFE that is not: a) an Active NFFE, or b) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.
<b>Related Entity</b>	An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.
<b>South African Financial Institution</b>	a) any Financial Institution resident in South Africa, but excluding any branch of such Financial Institution that is located outside South Africa, and b) any branch of a Financial Institution not resident in South Africa, if such branch is located in South Africa.
<b>South African Governmental Entity</b>	The government of South Africa, any political subdivision of South Africa (which, for the avoidance of doubt, includes a state, province, county, or municipality), or any wholly owned agency or instrumentality of South Africa or any one or more of the foregoing (each, a "South African Governmental Entity"). This category is comprised of the integral parts, controlled entities, and political subdivisions of South Africa. a) An integral part of South Africa means any person, organisation, agency, bureau, fund, instrumentality, or other body, however designated, that constitutes a governing authority of South Africa. The net earnings of the governing authority must be credited to its own account or to other accounts of South Africa, with no portion inuring to the benefit of any private person. An integral part does not include any individual who is a sovereign, official, or administrator acting in a private or personal capacity. b) A controlled entity means an Entity that is separate in form from South Africa or that otherwise constitutes a separate juridical entity, provided that: i. The Entity is wholly owned and controlled by one or more South African Governmental Entities directly or through one or more controlled entities; ii. The Entity's net earnings are credited to its own account or to the accounts of one or more South African Governmental Entities, with no portion of its income inuring to the benefit of any private person; and iii. The Entity's assets vest in one or more South African Governmental Entities upon dissolution. c) Income does not inure to the benefit of private persons if such persons are the intended beneficiaries of a governmental program, and the programme activities are performed for the general public with respect to the common welfare or relate to the administration of some phase of government. Notwithstanding the foregoing, however, income is considered to inure to the benefit of private persons if the income is derived from the use of a governmental entity to conduct a commercial business, such as a commercial banking business, that provides financial services to private persons.
<b>Specified Insurance Company (CRS and FATCA)</b>	Insurance Company that issues, or is contractually obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract, or the holding company of one.
<b>Trustee documented Trust</b>	A Trust established under the laws of South Africa, where: a) the Trustee is a Reporting US Financial Institution, Participating Financial Institution or Reporting Financial Institution in a Model I IGA country, and b) the Trustee "reports all information required to be reported for FATCA purposes in relation to all US Reportable Accounts of the Trust"
<b>U.S. Person</b>	A U.S. Person, other than: a) a corporation whose stock is regularly traded on one or more established securities markets; b) "any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause i.; c) the United States or any wholly owned agency or instrumentality thereof; d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; e) any organisation exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; f) any bank as defined in section 581 of the U.S. Internal Revenue Code; g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.



**ANNEXURE C – RELATED PARTY INFORMATION FORM**

Old Mutual Unit Trust Managers (RF) (PTY) Limited (Registration 65/08471/07)

Contract number

Contract number

Contract number

**Please complete all categories of this form in BLOCK LETTERS for all related parties for this Entity**

**1. RELATED PARTY TYPES (MANDATORY)**

Please select (✓) the appropriate classification for Entities:

- Beneficiary
- Donor
- Founder
- Partner
- Protector
- Spouse
- Beneficial owner
- Settlor
- Trustee
- Member
- Benefit recipient
- Authorised Person (acting/transact on behalf of)
- Any person exercising executive control of the Trust/Partnership or Senior Managing Official Company
- Holding Interest - Close Corporation/Shareholder  %
- Premium payer

**2. PERSONAL DETAILS OF RELATED PARTY (MANDATORY)**

Please note all fields must be completed.

**2.1 INDIVIDUALS**

Title                      Mr                       Ms                       Mrs                       Other                       Initials

Surname

Full names

Date of birth  D D M M Y Y Y Y

Country of birth

Nationality

Type of identification (ID or passport or refugee ID)	Country of issue	ID or passport or refugee number	Issue date	Expiry date of passport or refugee ID
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2.2 ENTITY**

Entity registration name

Entity registration number

Entity registration date  D D M M Y Y Y Y

Country of organisation or incorporation



ANNEXURE C – RELATED PARTY INFORMATION FORM CONTINUED

3. CONTACT DETAILS OF RELATED PARTY (MANDATORY)

Residential/Physical address [grid] Postal code [grid]

Country of address [grid]

Is the residential address provided a care of (c/o)\* address? Yes [ ] No [ ]

\* Care of: Select "Yes", if you do not have a residential address of your own and require for your post to be directed to another person.

If "Yes", please provide name of property owner or name of person who holds the rental agreement. [grid]

Postal address (if different from above address) [grid] Postal code [grid]

Country of address [grid]

Is the postal address provided a care of (c/o)\* address? Yes [ ] No [ ]

\* Care of: Select "Yes", if you do not have a postal address of your own and require for your post to be directed to another person.

If "Yes", please provide name of property owner or name of person who holds the rental agreement. [grid]

Cellphone [grid] (For eg. South Africa +27)

Telephone (Home) [grid] (For eg. South Africa +27)

Telephone (Work) [grid] (For eg. South Africa +27)

E-mail Address [grid]

Old Mutual Unit Trusts' preferred method of communication is e-mail

4. SIGNATURE (MANDATORY)

I hereby confirm that to the best of my knowledge and belief the information is true, correct, and complete.

Signed at (place) [grid] on (date) [grid]

Signature of related party [grid]

5. DOCUMENTATION REQUIRED

- Related Party (Person that is not resident in South Africa)
- Proof of Identification (Valid passport copy. The valid passport expiry date must be recorded)
- Proof of address
Authorised Person (Person acting on behalf of the contracting party)
- Proof of authority to act on behalf of the contracting party
- Green bar-coded identity documents/valid smart card for SA residents or Valid passport copy for foreigners