



IMPORTANT INFORMATION

1. This form is for qualified institutional investors in Qualified Investor Hedge Funds.
2. Please complete all relevant sections of this application in order to process your switch transaction. The completed form and supporting documentation can be scanned and emailed to QIHedgeFunds@oldmutual.com. Illegible and incomplete forms may lead to delays. **Contact +27 (0)21 509 7140 if you have any queries.**
3. Your switch will be completed once we have received the completed form and supporting documentation and the sale of units have been effected and the units are available for reinvestment into the new fund(s).

SUPPORTING DOCUMENTATION REQUIREMENTS

Transaction requests require at least proof of identity (e.g. bar-coded ID/passport) and residential address (e.g. utility bill), unless we have your current documents on record. Please refer to the [Qualified Investor Hedge Fund Pre-Investment Information Document](#) (Supporting Document Requirements) for further information. The Financial Intelligence Centre Act (FICA) requires that documents have to be provided for every individual listed, including individuals acting on behalf of others. Institutional investors must also supply "Self-certification of Exchange Control Compliance" documentation, if applicable. We cannot process your application without the relevant information.

PROCESSING TIMES:

Client requested transactions will be processed on the **last working day of a calendar month** ("the Transaction Date");

Purchase transaction requests need to be submitted (with all requirements met) by 15h00 five (5) working days before the Transaction Date, unless otherwise agreed in terms of your Service Level Agreement. Once the investment instruction has been finalised we will send a confirmation letter, which includes our bank details. Investment amounts (to purchase units) will be held in the Old Mutual Unit Trusts bank account and invested into the QI Hedge Fund selected on the Transaction Date. Note that no interest will be accrued on this amount during this period;

Please provide proof of payment of the investment amount to Old Mutual (to QIHedgeFunds@oldmutual.com) by 15h00 two (2) working days before the Transaction Date.

Repurchase (redemption) and switch transaction requests need to be submitted (with all requirements met) by 15h00 on the first working day of a calendar month for processing on the next Transaction Date), unless otherwise agreed in terms of your Service Level Agreement. Transaction application forms can be sourced from our service team on +27 (0)21 509 7140.

Transaction requests received after these times will be processed on the following Transaction Date (i.e. a calendar month later).

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

QI HEDGE FUND INVESTOR ELIGIBILITY

The requirements for investors in QI Hedge Funds are the following:

- The investing entity must be investing a minimum of R1 million per hedge fund invested into; **AND**
- The investing entity must have appointed a Financial Services Provider (Adviser) who has the relevant experience and knowledge to be able to give them advice on the risks involved in investing in hedge funds. If selecting this option please complete section 4(a) **OR**
- The investing entity must demonstrate that they have the relevant experience to enable them to assess the merits and risks involved in hedge fund investments. **If selecting this option please complete section 4(b)**

APPLICATION TO BUY UNITS

I/We hereby apply to Old Mutual Unit Trusts Managers (RF) (Pty) Ltd (Old Mutual Unit Trusts) 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 Old Mutual Unit Trust Fund Trust Deed(s).

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

If Yes, please provide your unit trust number



1. INSTITUTIONAL 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 Retirement Fund CIS Fund Other

Entity Registration Number Entity Registration Date D D M M C C Y Y

Entity Tax Number Entity VAT Number

Entity registered address
 Postal code
 Country of address

Entity trade address
 Postal code
 Country of address

Telephone business
 (For eg. South Africa +27)

Entity e-mail address
 (Old Mutual's preferred method of communication is email)

2. CONTACT DETAILS FOR THOSE REPRESENTING LEGAL ENTITIES

Please complete if you are acting on behalf of the contracting party

Power of Attorney Curatorship Appointed by Entity as authorised person (documentation is required e.g. a resolution)

Title and surname

Full first names

Gender: Male Female Marital status: Married Single

Occupation:

Proof of Identity:

Please provide copy(s) of identification document(s) with this form

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

Other State type eg. Social security number Country of citizenship:

Country of birth: Country of residence: Country of nationality:



2. CONTACT DETAILS FOR THOSE REPRESENTING LEGAL ENTITIES CONTINUED

Are you registered for Tax purposes in South Africa? Yes South African Income tax number

Cellphone
 (For eg. South Africa +27)

Telephone (Home)
 (For eg. South Africa +27)

Telephone (Work)
 (For eg. South Africa +27)

E-mail Address

Residential address

My address OR Care of (c/o)* address Care of (c/o)* Name

* Care of: If you do not have a residential address of your own and require for your post to be directed to the care of this person

Address

Postal code

Country of address

Postal address, if different from residential address

My address OR Care of (c/o)* address Care of (c/o)* Name

* Care of: If you do not have a residential address of your own and require for your post to be directed to the care of this person

Address

Postal code

Country of address

3. INVESTING ENTITY CONTACT DETAILS

NATURE OF ENTITY

Please tick the box that applies.

Please note: *Foreign designation applies if the entity is registered or organised outside South Africa.

	Trust	Partnership	Listed company	Close corporation	Unlisted company	Collective Investment Scheme
South African	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Charitable organisation	Government/ Provincial Administration/ Municipality	Retirement Fund (pension, provident, preservation pension, preservation provident and Retirement Annuity)	Other Funds (Medical Aid Fund, Benefit Fund)	Other (Club, Association, Informal Body, Burial Society, Church, School)
South African	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If other, please specify



3. INVESTING ENTITY CONTACT DETAILS CONTINUED

DETAILS OF ENTITY OR BRANCH OF FOREIGN ENTITY IN SOUTH AFRICA (mandatory)

Please note: A copy of the certificate/memorandum of incorporation or trust deed must accompany this form.

Trade name

Registered name

Entity registration no.

Registration date

Country of organisation or incorporation

Stock Exchange Listing information for Listed Companies

Primary Listing

Secondary Listing

ENTITY CONTACT DETAILS (mandatory)

Note: Proof of address must accompany this form

Email address

Please tick this box if you would prefer your communication by post. Old Mutual Unit Trusts' preferred method of communication is e-mail.

Telephone (Main company)

Fax

For SA Trusts Master of High Court address

Postal code

Country of address

Postal address Physical address

Country Country

Postcode Postcode

For The Administrator

Name of Administration Company

Title, initials and surname

Authorised person @ Administrator

Tel. Number Cellphone

(Code)

Fax

E-mail

Preferably a group e-mail address

Secure Online Access

Will you require Secure Online View Access for this Investment? No Yes

If yes, for: Investing Entity Authorised Person Appointed Administrator



4. SWITCH EXISTING ACCOUNT BALANCE

QI Hedge Fund minimums apply (The investor must be investing a minimum of R1 million per hedge fund invested into). If no selection is made, distributions are automatically reinvested.

COMPLETE APPROPRIATE OPTION: (to action)

FROM (unit trust name)	ACCOUNT NUMBER	TO (unit trust name)	ACCOUNT NUMBER (if existing)	UNITS or RAND VALUE			DISTRIBUTIONS	
				All (✓)	Specify number	Rand value	Pay out	Reinvest

5. BANK DETAILS FOR THE INVESTING ENTITY

BANK DETAILS FOR DEDUCTIONS (We will deduct this and all future payments from this account.)

The payment is made:

On behalf of an institution

Account name

Bank and branch

Branch code and account number

Account type: Current Savings

BANK DETAILS FOR PAYOUTS IF DIFFERENT FROM ABOVE (We will pay income dividends and proceeds of sales into this account.)

Account name

Bank and branch

Branch code and account number

Account type: Current Savings

Account Name

Bank and branch

Branch code and account number

Account type: Current Savings



5. ADVICE AND RELATED FEES

Please complete either section 4(a) where an adviser is utilised or section 4(b) if you have the relevant experience to assess the merits and risks involved in hedge fund investments

4(a). ACCEPTANCE OF ADVICE (not applicable to LISP, Fund of Funds or Retirement Fund investing entities):

The appointed signatories to this investment hereby confirm that, where applicable, the relevant adviser has satisfied them that he/she has the relevant experience and knowledge and is authorised to render financial services in respect of Qualified Investor Hedge Fund unit trust investments.

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.

INSTRUCTION FOR PAYMENT OF ADVISER FEES (If applicable)

Note: Fees to the adviser can only be applied if this section is fully completed.

INITIAL ADVISER FEE (Initial adviser fees can only be paid on investments in the AI class of these portfolios)

An initial adviser fee has been agreed as follows. The applicable amount will be deducted prior to the purchase of units.

% incl. VAT (max. 3.45% incl. VAT), which is R (incl. VAT). Note: If % and rand differ, the % holds.

Please note that initial adviser fees are deducted before investing the remainder into the fund. This remaining amount needs to exceed the R1m minimum.

ANNUAL ADVISER FEE (Annual adviser fees can apply across all classes)

In addition, appointed signatories may elect to pay an ongoing annual adviser fee. This fee is negotiated between the entity and their adviser, and is over and above the initial adviser fee stipulated above.

YES or NO

If Yes, specify percentage % incl. VAT (max. 1.15% p.a. incl. VAT) of this QI Hedge Fund portfolio. Note that this instruction overrides all existing QI Hedge Fund annual adviser fee agreements.

from Fund (one QI Hedge Fund only) UT No: (unit trust account number)

OR

proportionally across all the QI Hedge Funds.

This annual fee is calculated as a percentage of the value of this QI Hedge Fund unit trust portfolio on the Transaction Date. The annual adviser fee is deducted monthly, one month in arrears, through the sale of units from the nominated unit trust/s. This is 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 the largest unit trust in this QI Hedge Fund 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 (unless the closed unit trust class is stipulated above). The investor 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	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 investor or authorised signatory

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"/>

Authorised signatory

4(b). DIRECT INVESTMENT WITHOUT ADVICE (Mandatory to complete if applicable)

I/We acknowledge that I/we have opted to invest into a QI Hedge Fund without utilising the services of an adviser to obtain information on the suitability of investing into QI Hedge Funds as that is my/our preference. I/We am/are solely responsible for my/our investment choice/s and their associated outcome/s. I/We confirm that I/we have the knowledge and experience in financial and business matters which would enable us/me to assess the risks and merits of a hedge fund investment and I/We have read and understood the contents of the Qualified Investor Hedge Fund Pre-Investment Information Document available from Old Mutual Unit Trusts.

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 investor or authorised signatory

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"/>

Authorised signatory



6. DECLARATION BY ADVISER/BROKER

SPECIAL INSTRUCTIONS

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

7. 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 investment instructions (i.e. buying) is at 15:00 five (5) working days in advance of the Transaction Date, unless agreed earlier in terms of your Service Level Agreement. All documentation must be complete and the investment amount must reflect in our bank account by that date. Investment amounts (Purchase of Units) will be held in the Old Mutual Unit Trusts bank account and be invested into the QI Hedge Fund selected on the Transaction Date, the last working day of the calendar month. Transaction requests received after these times will be processed a calendar month later.
- Our cut-off time for client switch and client disinvestment instructions (i.e. selling) is at 15:00 on the first working day of the month in advance of the Transaction Date, unless agreed later in terms of your Service Level Agreement. The Transaction Date is the last working day of the calendar month. Transaction requests received after these times will be processed a calendar month later. Disinvestment and switch forms are accessible on oldmutualinvest.com.
- Funds may borrow for leverage purposes and 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.
- We value our funds monthly at end of day on the last working day of every month to determine ruling price and will make available the ruling price the following working day. Monthly prices are available in the media or on request.
- The monthly ruling price will be calculated in accordance with ASISA's Pricing Standard and Old Mutual Unit Trusts' Valuation and Pricing Policy. It 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 value of assets will be determined by one or a combination of the following valuation strategies: Mark-to-Market, Mark-to-Broker and Mark-to-Model.
- The fund fees and costs that we charge for managing your investment are accessible on the relevant fund's minimum disclosure document (MDD) or table of fees and charges both available on our public website or from our service centre.
- Additional information on this proposed investment can be obtained, free of charge, from our service team on +27 (0)21 509 7140.
- Old Mutual Unit Trusts has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- A portfolio may change its investment strategy or investment policy (or both) by applying to the Financial Services Board (FSB) for permission to ballot all investors. The investment policy will change with approval of the FSB and a response of at least 25% by value of investors, the majority of whom must be in favour.
- 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 and Investment South Africa (ASISA).

Some funds hold assets in foreign countries and therefore may have risks regarding liquidity, the repatriation of funds, political and macro-economic situations, foreign exchange, tax, settlement, and the availability of information. Please contact us for risks specific to each country.



8. DECLARATION OF INVESTOR OR AUTHORISED SIGNATORY/IES

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

- I/we agree to accept the number of units sold to me/us by virtue of this application and I/we warrant that I/we 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/are 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/we use an adviser, and that there are no guarantees on my/our capital.
- I/we acknowledge that there are further allowable deductions from the unit trust (e.g. an annual service fee) that impact on the value of this investment. I am/we are satisfied that the facts provided are accurate and complete.
- I/we acknowledge that these portfolios of Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow for leverage purposes and to bridge insufficient liquidity.
- I/we have read and fully understood all the pages of this application form.
- If applicable I/we hereby authorise Old Mutual Unit Trust Managers (RF) (Pty) Ltd to debit the account mentioned above with the lump sum specified.
- I/we further authorise Old Mutual to accept instructions from me/us via facsimile (please delete if not applicable).
- I/we confirm that I/we have completed Tax Residency Declaration (Section 13 above).
- I/we have read and am aware of the QI Hedge Fund's/Funds' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s (Minimum Disclosure Document/s).
- I/We warrant that all the information given in this form, and in any 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/us in connection with this form, is true and correct and as per my/our instructions, whether in my/our handwriting or not.
- I/we undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should any information, personal or otherwise, or relating to my/our entity as previously disclosed to Old Mutual Unit Trust Managers (RF) (Pty) Ltd change (including: contact detail, signatories, tax residency information, etc.)
- 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.

Date

D	D	M	M	Y	Y	Y	Y

Signature of investor or authorised signatory

Date

D	D	M	M	Y	Y	Y	Y

Authorised signatory

CONTACT DETAILS

Old Mutual Unit Trust Managers (RF) (Pty) Limited
 (Registration no. 65/08471/07)
 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
 E-mail: unittrusts@oldmutual.com

Complaints: Our complaints process is available on request and may be accessed via our website www.oldmutualinvest.com or at any of our branches. You may also direct your complaints to the Client Relationship Manager at the above address.

Compliance Department: +27(0)21 503 1770

Board: PG de Beyer (Chairman), E Botha (Managing Director), KD Land, JR Minnaar, **Independent:** LA Harvey, PJ Dempsey
 Visit www.oldmutualinvest.com for unit trust information, prices and news. Log in to view your portfolio online.

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) Ltd and is a licensed financial services provider.



FUND LIST

FUND NAME	JSE Code Class		ANNUALISED SERVICE FEE % (included in TER)				TOTAL EXPENSES AS AT 30 SEPTEMBER 2019				DISTRIBUTION DATES	RISK
			Flat Fees		Performance Related Fees		Total Expense Ratio* (TER) %		Transaction Cost (TC)	= Total Investment Charge		
			Local Assets	Offshore Assets	Min	Max	TER	Performance Fee Component				
Old Mutual Aristeia Opportunities QI Hedge Fund	OMGD3	D3	0.627%	-	0.63%	Uncapped	1.88%	-	0.42%	2.30%	June, December	Aggressive
Old Mutual Chronos QI Hedge Fund	OMCD3	D3	0.627%	-	0.63%	Uncapped	1.20%	-	0.46%	1.66%	June, December	Aggressive
Old Mutual Managed Alpha QI Hedge Fund	OMQD3	D2	0.627%	-	0.63%	Uncapped	1.39%	-	0.46%	1.86%	June, December	Aggressive
Old Mutual Volatility Arbitrage QI Hedge Fund	OMVD1	D1	0.342%	-	0.34%	Uncapped	1.918%	-	0.10%	1.862%	June, December	Aggressive
	OMVD3	D3	0.627%	-	0.63%	Uncapped	2.20%	-	0.30%	2.50%		