OLD MUTUAL UNIT TRUSTS TRANSFER FORM

This Transfer Form is for direct unit trust investors (Individual or Entity) invested in Old Mutual Unit Trust(s) who wish to issue an instruction to transfer the unit trust investment to a new beneficial owner (Individual or Entity).

IMPORTANT INFORMATION

1. **Please complete all the relevant sections and sign the applicable sections. For Individuals, please complete section 1, 3, 4, 5, 6, 8 and 13 and for Entities, please complete section 2, 3, 7, 8, and 14. If applicable, please complete sections 9 and 10.**
2. The transfer notice must be signed by both the Transferor and the Transferee in the presence of a witness. The Transferor is the person from whom units are transferred**.** The Transferee is the person to whom the units are being transferred (person receiving units).
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. The EAC of your investment will be confirmed in writing once your investment has been processed.
4. The completed form can be **emailed to uttransactions@oldmutual.com**. Illegible and incomplete forms may lead to delays. **Contact our Service Centre at 0860 234 234 if you have any queries.**
5. **Once your account has been opened, you can register via www.oldmutualinvest.com to view and/or transact on your portfolio.**
6. It is important to provide a **cellphone number**, as transaction notifications are only sent via SMS.

SUPPORTING DOCUMENTATION REQUIREMENTS

Transfer requests require at least proof of identity (e.g. bar-coded ID/passport). The Financial Intelligence Centre Act (FICA) requires that the investor and all related parties are identified and verified before the investment is processed. We cannot process your application without the relevant information. Entity investors must also supply "Self-certification of Exchange Control Compliance" documentation, if applicable. We cannot process your application without the relevant information.

Supporting documentation which may be required

CLIENT TYPE	FICA IDENTIFICATION REQUIREMENTS
Adults	• Copy of the South African valid green bar-coded identity document or identity card. • For foreign nationals a copy of your passport and proof of residential address (less than 3 months old).
Minors	• Copy of South African valid green bar-coded identity document or identity card of parent(s)/legal guardian. • Copy of birth certificate/identity document of minor. • Copy of a valid passport for foreign nationals. • For foreign nationals proof of residential address – less than 3 months old, of parent(s)/legal guardian as well as minor (if different). • If a grandparent is the investor, we will require a copy of the identity document of that grandparent; proof of residential address as well as the identification and proof of address documents for the parent(s)/legal guardian of the minor.
Persons acting on behalf of another natural person	**Both the person acting on behalf of the client and the client must be verified** • Copy of South African valid green bar-coded identity document or identity card or passport for the person acting on behalf of the client. • For foreign nationals proof of address for person acting on behalf of the client – less than 3 months old. • For foreign nationals a copy of your passport and proof of residential address (less than 3 months old) • Proof of authority to act on behalf of the entity or client, eg. Power of attorney; Mandate; Resolution duly executed by authorised signatories; Letter of executorships/ authority from the Master of the High Court; Court order; Trust Deed

PROCESSING TIMES

The same day's price will be applied to transaction requests submitted by 15h00 (12h30 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 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.

CONTACT DETAILS

Helpline:	0860 234 234
Telephone:	+27(0)21 503 1770
Email:	unittrusts@oldmutual.com
Website:	www.oldmutualinvest.com
Invest Online:	https://www.oldmutualinvest.com/all-products

1. TRANSFER FROM (TRANSFEROR): FOR INDIVIDUALS

INDIVIDUAL IN WHOSE NAME INVESTMENT IS HELD

Surname and initials

Title and first names

Identity number

D D M M C C Y Y

Date of birth

PROVIDE CONTACT INFORMATION OF TRANSFEROR

Cellphone

(Include country dialling code e.g. South Africa +27)

Alternative Number

(Include country dialling code e.g. South Africa +27)

E-mail Address

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

Postal address

Postcode

Physical address

Postcode

DETAILS OF PERSON ACTING ON BEHALF OF INVESTOR

☐ Power of attorney ☐ Curatorship ☐ Legal guardian ☐ Parent Other

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

Please provide your proof of identity (e.g. bar-coded ID/passport) and residential address (e.g. recent utility bill not older than 3 months)

Title and surname

Full first names

Proof of Identity:

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

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

☐ Other State type eg. Social security number

Country of citizenship

Country of birth

Country of residence

Country of Nationality

Nationality start date

D D M M C C Y Y

Contact details:

Cellphone

(Include country dialling code e.g. South Africa +27)

Alternative Number

(Include country dialling code e.g. South Africa +27)

E-mail Address

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

DETAILS OF PERSON ACTING ON BEHALF OF INVESTOR CONTINUED

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 your post to be directed to the care of this person

Address

Postal code

Country

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 your post to be directed to the care of this person

Address

Postal code

Country

EMPLOYMENT DETAILS

Employment Position:

Are you a Prominent Influential Person*? ☐ No ☐ Yes (if Yes, please select one of the 4 Employment Positions listed below):

☐ Chairperson of the Audit Committee
☐ Chairperson of the Board of Directors
☐ Chief Financial Officer
☐ Executive Officer

* A prominent influential (PIP) is a person who holds or has held at any time in the preceding 12 months, the position of one of those 4 options above as defined in the Companies Act, 2008 (Act No 71 of 200), if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister by notice in the Gazette.

Occupation:

☐ Executive Management/Director
☐ Foreman/Supervisor
☐ General Employee/Non-management
☐ Managing Director
☐ Non-Senior management
☐ Senior Management
☐ Self-employed
☐ Retired
☐ Unemployed

Industry or Nature of Business:

☐ Administrative and Support Service
☐ Adult Entertainment
☐ Agriculture, Forestry and Fishing
☐ Animal & Conservation
☐ Arms Manufacturers and Dealers
☐ Art Dealer
☐ Art Dealer of *high-value goods
☐ Arts, Entertainment and Recreation
☐ Mining/Extraction of precious metals and minerals: Imports/ Exports
☐ Motor trade/dealership
☐ Motor trade/dealership: *High-cash value
☐ Motor trade/dealership: Imports/Exports
☐ Non-Profit Organisation, NGO etc.
☐ Professional Services
☐ Public Sector: Defence and Safety
☐ Public Sector: Procurement, Infrastructure and Administration

DETAILS OF PERSON ACTING ON BEHAL OF INVESTOR CONTINUED

Industry or Nature of Business: continued

- [ ] Atomic/Nuclear power generation
- [ ] Construction and Infrastructure
- [ ] Cryptocurrency assets
- [ ] Education, Healthcare and Social work
- [ ] Financial and Insurance
- [ ] Gambling Industry (Casino, slot machines, betting)
- [ ] Hospitality
- [ ] Imports/Exports: Agriculture/Forestry and Fishing
- [ ] Imports/Exports: *High-cash generating
- [ ] Imports/Exports: *High-value goods
- [ ] Imports/Exports: Other
- [ ] Information Communication and Technology
- [ ] Manufacturing (Import/Export)
- [ ] Manufacturing (Non-Import/Export)
- [ ] Mining/Extraction of precious metals and minerals: Extractive industries
- [ ] Mining/Extraction of precious metals and minerals: *High-value goods
- [ ] Real Estate and Property
- [ ] Real Estate: Development, Sales and/or Letting
- [ ] Real Estate: Development, Sales and/or Letting – *High-cash generating
- [ ] Red light/Adult Entertainment Industry
- [ ] Regulated/Registered charities/Non-Profit Organisation/NGO: *High-cash generating
- [ ] Regulated/Registered charities/NPO/NGO
- [ ] Science and Laboratories
- [ ] Transporting, Storage and Logistics (excluding imports/exports)
- [ ] Unregulated/Unregistered charities/Non-Profit Organisation/NGO: *High-cash generating
- [ ] Unregulated/Unregistered charities/NPO/NGO
- [ ] Utilities
- [ ] Virtual Asset Service Providers
- [ ] Wholesale and Retail trade
- [ ] Wholesale and Retail trade: *High-cash generating
- [ ] Wholesale and Retail trade: *High-value goods
- [ ] None (only allowed if retired or unemployed)

* "High-value goods and High-cash generating" refers to any item within the business valued at R100 000 or more.

Source of Income:

- [ ] Annuity Payment
- [ ] Commission
- [ ] Director's remuneration
- [ ] Disability Grants
- [ ] Gratuities/Tips
- [ ] Income protection payment
- [ ] Independent contractor/Labour broker
- [ ] Inheritance
- [ ] Maintenance Support
- [ ] Monthly Pension
- [ ] Salary
- [ ] Scholarship/Bursary
- [ ] Self-Employed/Own Business
- [ ] Third Party (Spouse/Partner/Family Member)
- [ ] Other Investment Income

Source of Funds:

- [ ] Annuity Payment
- [ ] Bonus/Profit Share
- [ ] Commission
- [ ] Company/entity profits
- [ ] Compensation payment/Arbitration award
- [ ] Maturing investment/Policy claim
- [ ] Monthly Pension
- [ ] Provident/Preservation Provident fund
- [ ] Provident/Preservation Pension fund
- [ ] Restraint of trade payment

DETAILS OF PERSON ACTING ON BEHALF OF INVESTOR CONTINUED

Source of Funds: continued

- [ ] Contributions
- [ ] Director's remuneration
- [ ] Disability Grants
- [ ] Donation/Gift
- [ ] Gratuities/Tips
- [ ] Income protection payment
- [ ] Independent contractor/Labour broker
- [ ] Maintenance Support
- [ ] Salary
- [ ] Sale of asset
- [ ] Savings
- [ ] Scholarship/Bursary
- [ ] Self-Employed/Own Business
- [ ] Third party funds
- [ ] Third party payer

2. TRANSFER FROM (TRANSFEROR): FOR ENTITIES

FULL NAME OF ENTITY IN WHICH THE INVESTMENT IS HELD

Company/entity name

Full name of authorised representative

PROVIDE CONTACT INFORMATION OF TRANSFEROR

Cellphone

(Include country dialling code e.g. South Africa +27)

Alternative Number

(Include country dialling code e.g. South Africa +27)

E-mail Address

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

Postal address

Postcode

Physical address

Postcode

DETAILS OF PERSON ACTING ON BEHALF OF INVESTOR

- [ ] Power of attorney
- [ ] Curatorship
- [ ] Legal guardian
- [ ] Parent

Other

If parent, please indicate whether minor lives with you

- [ ] Yes
- [ ] No
- [ ] Executor

Please provide your proof of identity (e.g. bar-coded ID/passport) and residential address (e.g. recent utility bill not older than 3 months)

Title and surname

Full first names

2. TRANSFER FROM (TRANSFEROR): FOR ENTITIES CONTINUED

Proof of Identity:

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

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

☐ Other State type eg. Social security number ______ Country of citizenship ______

Country of birth ______ Country of residence ______

Country of Nationality ______ Nationality start date D D M M C C Y Y

Contact details:

Cellphone ______
(Include country dialling code e.g. South Africa +27)

Alternative Number ______
(Include country dialling code e.g. South Africa +27)

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

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 your post to be directed to the care of this person

Address ______

Postal code ______

Country ______

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 your post to be directed to the care of this person

Address ______

Postal code ______

Country ______

3. DETAILS OF TRANSFER

CONTRACT NUMBER	UNIT TRUST FUND NAME	TRANSFER DETAILS		CONFIRM EXISTING DEBIT ORDER DETAILS FOR NEW TRANSFEROR	
		Percentage	or Rand Value	Cancel	* Remain
			R		
			R		
			R		

* The debit order will remain with the Transferor.

3. DETAILS OF TRANSFER CONTINUED

I hereby apply to transfer the number of units or the number of units equivalent to the rand amount at the date of transfer, to the Transferee. I, the Transferor, hereby warrant that I have full power and authority to enter into and conclude this agreement. In the case of transfers from a minor child, the guardian hereby indemnifies Old Mutual Unit Trust Managers (RF) (Pty) Ltd against any claim by the minor child as a result of the transfer of units.

Name of transferor

Signature of transferor

Capacity, e.g. Executor/Guardian/Institution

Date D D M M Y Y Y Y

Name of witness

Signature of witness

4. TRANSFER TO (TRANSFEREE): FOR INDIVIDUALS

I am investing for: Myself ☐ On behalf of someone else ☐ State relationship

INDIVIDUAL IN WHOSE NAME INVESTMENT SHOULD BE TRANSFERRED TO

Title and surname

Full first names

Proof of Identity:

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

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

☐ Other State type eg. Social security number

Country of citizenship

Country of birth

Country of residence

Country of Nationality

Nationality start date D D M M C C Y Y

Contact details:

Cellphone

(Include country dialling code e.g. South Africa +27)

Alternative Number

(Include country dialling code e.g. South Africa +27)

E-mail Address

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

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 your post to be directed to the care of this person

Address

Postal code

Country

4. TRANSFER TO (TRANSFEREE): FOR INDIVIDUALS CONTINUED

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 your post to be directed to the care of this person

Address

Postal code

Country

EMPLOYMENT DETAILS

Employment Position:

Are you a Prominent Influential Person*? ☐ No ☐ Yes (if Yes, please select one of the 4 Employment Positions listed below):

☐ Chairperson of the Audit Committee
☐ Chief Financial Officer
☐ Chairperson of the Board of Directors
☐ Executive Officer

* A prominent influential (PIP) is a person who holds or has held at any time in the preceding 12 months, the position of one of those 4 options above as defined in the Companies Act, 2008 (Act No 71 of 200), if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister by notice in the Gazette.

Occupation:

☐ Executive Management/Director
☐ Foreman/Supervisor
☐ General Employee/Non-management
☐ Managing Director
☐ Non-Senior management
☐ Senior Management
☐ Self-employed
☐ Retired
☐ Unemployed

Industry or Nature of Business:

☐ Administrative and Support Service
☐ Adult Entertainment
☐ Agriculture, Forestry and Fishing
☐ Animal & Conservation
☐ Arms Manufacturers and Dealers
☐ Art Dealer
☐ Art Dealer of *high-value goods
☐ Arts, Entertainment and Recreation
☐ Atomic/Nuclear power generation
☐ Construction and Infrastructure
☐ Cryptocurrency assets
☐ Education, Healthcare and Social work
☐ Financial and Insurance
☐ Gambling Industry (Casino, slot machines, betting)
☐ Hospitality
☐ Imports/Exports: Agriculture/Forestry and Fishing
☐ Mining/Extraction of precious metals and minerals: Imports/Exports
☐ Motor trade/dealership
☐ Motor trade/dealership: *High-cash value
☐ Motor trade/dealership: Imports/Exports
☐ Non-Profit Organisation, NGO etc.
☐ Professional Services
☐ Public Sector: Defence and Safety
☐ Public Sector: Procurement, Infrastructure and Administration
☐ Real Estate and Property
☐ Real Estate: Development, Sales and/or Letting
☐ Real Estate: Development, Sales and/or Letting – *High-cash generating
☐ Red light/Adult Entertainment Industry
☐ Regulated/Registered charities/Non-Profit Organisation/NGO: *High-cash generating
☐ Regulated/Registered charities/NPO/NGO
☐ Science and Laboratories
☐ Transporting, Storage and Logistics (excluding imports/exports)

4. TRANSFER TO (TRANSFEREE): FOR INDIVIDUALS CONTINUED

Industry or Nature of Business: continued

- [ ] Imports/Exports: *High-cash generating
- [ ] Imports/Exports: *High-value goods
- [ ] Imports/Exports: Other
- [ ] Information Communication and Technology
- [ ] Manufacturing (Import/Export)
- [ ] Manufacturing (Non-Import/Export)
- [ ] Mining/Extraction of precious metals and minerals: Extractive industries
- [ ] Mining/Extraction of precious metals and minerals: *High-value goods
- [ ] Unregulated/Unregistered charities/Non-Profit Organisation/NGO: *High-cash generating
- [ ] Unregulated/Unregistered charities/NPO/NGO
- [ ] Utilities
- [ ] Virtual Asset Service Providers
- [ ] Wholesale and Retail trade
- [ ] Wholesale and Retail trade: *High-cash generating
- [ ] Wholesale and Retail trade: *High-value goods
- [ ] None (only allowed if retired or unemployed)

* "High-value goods and High-cash generating" refers to any item within the business valued at R100 000 or more.

Source of Income:

- [ ] Annuity Payment
- [ ] Commission
- [ ] Director's remuneration
- [ ] Disability Grants
- [ ] Gratuities/Tips
- [ ] Income protection payment
- [ ] Independent contractor/Labour broker
- [ ] Inheritance
- [ ] Maintenance Support
- [ ] Monthly Pension
- [ ] Salary
- [ ] Scholarship/Bursary
- [ ] Self-Employed/Own Business
- [ ] Third Party (Spouse/Partner/Family Member)
- [ ] Other Investment Income

Source of Funds:

- [ ] Annuity Payment
- [ ] Bonus/Profit Share
- [ ] Commission
- [ ] Company/entity profits
- [ ] Compensation payment/Arbitration award
- [ ] Contributions
- [ ] Director's remuneration
- [ ] Disability Grants
- [ ] Donation/Gift
- [ ] Gratuities/Tips
- [ ] Income protection payment
- [ ] Independent contractor/Labour broker
- [ ] Maintenance Support
- [ ] Maturing investment/Policy claim
- [ ] Monthly Pension
- [ ] Provident/Preservation Provident fund
- [ ] Provident/Preservation Pension fund
- [ ] Restraint of trade payment
- [ ] Salary
- [ ] Sale of asset
- [ ] Savings
- [ ] Scholarship/Bursary
- [ ] Self-Employed/Own Business
- [ ] Third party funds
- [ ] Third party payer

5. TAX RESIDENCY DETAIL – FOR INDIVIDUALS

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 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 following questions and complete your tax reference number(s) in the table below, along with details of your identifications and any other nationality or citizenship, providing identification for each country for which you are a resident for tax purposes.

	Yes	No	Country of tax residence	**Income tax reference number (TIN)** (* mandatory - If you do not have an Income Tax reference number please select reason code (A/B/C) in table below)	Foreign ID/ passport of country	ID type
Are you a resident for Tax purposes in South Africa?						
If **YES** please include your South African Income Tax Number						
Are you a citizen and/or tax resident of the United States of America?						
If "Yes", please provide the following information						
Are you a resident for **tax purposes** in any other country?						
If "Yes", please provide the following information						
Country 1						
Country 2						
Country 3						

TIN reason code table

Reason	Description	Please tick (✓)	Why is TIN unobtainable
A	The country/jurisdiction does not issue TINs to its residents		
B	The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this 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)		

I (Full Name) ____________________ , ID/Passport number ____________________

certify that the information provided above is correct. If I am a tax resident of any country other than or in addition to South Africa, I have stated this above. I undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should information contained in this form change.

Signature

Date D D M M Y Y Y Y

6. CONFIRMATION OF TAX STATUS FOR WITHHOLDING TAX – FOR INDIVIDUALS

Old Mutual Unit Trusts requests investors as beneficial owners of the investment, or their authorised signatory on behalf of the beneficial owner/ investors to confirm your tax status to us in writing in the section provided below. This is to ensure that you receive the applicable tax exemption or that your tax is at the applicable reduced rates for Dividends Tax and the Withholding tax on Interest. Should you not complete and sign this section, until we are in possession of correctly completed and signed forms, Old Mutual Unit Trusts will be required to:

- Withhold Dividends Tax at the applicable rate stipulated in the legislation on all dividends, and if applicable
- Withhold tax at the applicable rate stipulated in the legislation, on all interest, subject to the tax Withholding Tax on Interest (applicable to tax residents of a country other than South Africa).

WHO QUALIFIES FOR A DIVIDENDS TAX EXEMPTION?

All investors qualify for an exemption from Dividends Tax on dividends distributed. However, qualification is not automatic and you have to complete the Declaration below confirming where you are resident for tax purposes.

- If you are resident for Tax purpose in South Africa, you should qualify for the para (l) exemption because:
  a. **Income declared by a Real Estate Investment Trust [REIT] is deemed a dividend and subject to normal Income Tax in the hands of a South African Tax Resident.**
  b. Due to a South African Tax Resident being subject to normal tax on the income, exemption (l) would then apply for Dividend Tax.
- If you are not resident for tax purposes in South Africa, but resident for tax purposes in another jurisdiction, the para (j) exemption should apply where instances of para (x), (y) or (z) do not.

To claim the benefit from a dividends tax exemption

You as the investor, as the beneficial owner of this investment, or the authorised signatory on behalf of the beneficial owner, need to indicate below why the investor is exempt from dividends tax and to sign the declaration and undertaking provided below.

☐ Par (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)

☐ Par (l) – any person insofar as the dividend constitutes income of that person (i.e. falls into normal tax system)*

☐ Par (y) – Double Taxation Agreement

☐ Par (z) – 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 ____________________ (full names in print please), the undersigned, hereby declare that dividends paid to the beneficial owner is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Signature ____________________ Date D D M M C C Y Y

(Duly authorised to do so)

Capacity of Signatory (if not the investor):- ____________________

UNDERTAKING IN TERMS OF SECTIONS 64FA(1)(A)(II), 64G(2)(A)(BB) OR 64H(2)(A)(BB) OF THE ACT:

I ____________________ (full names in print please), the undersigned, undertake to inform the Withholding Agent in writing should the circumstances of the beneficial owner referred to in this declaration change.

Signature ____________________ Date D D M M C C Y Y

(Duly authorised to do so)

Capacity of Signatory (if not the investor):- ____________________

CLAIMS FOR DIVIDENDS TAX REDUCED RATES TO BE APPLIED*, EXEMPTION FROM THE WITHHOLDING TAX ON INTEREST OR FOR REDUCED RATES TO BE APPLIED IN RELATION TO THE WITHHOLDING TAX ON INTEREST* (*ONLY APPLICABLE TO PERSONS TAX RESIDENT IN A COUNTRY OTHER THAN SOUTH AFRICA)

☐ I qualify for a reduced rate of Dividend Withholding Tax because a double tax agreement is in place.
Please complete and sign the Declaration of Beneficial Owner Form in relation to Double Taxation Agreement relief available from www.oldmutualinvest.com or by calling the Service Centre at 0860 234 234 and return the signed form to Old Mutual Unit Trusts to claim the reduced rate of tax.

7. TRANSFER TO (TRANSFEREE): FOR ENTITIES

For this Transfer Instruction to be processed, the additional Tax Residency disclosures for reporting purposes (FATCA and CRS) will need to be completed and signed for on the ENTITY CLIENT DETAILS UPDATE FORM and submitted along with this form.

INSTITUTIONAL DETAIL

FULL NAME 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:

- ☐ Charitable Organisation
- ☐ Partnership
- ☐ Close Corporation
- ☐ Religious concern
- ☐ Listed Company
- ☐ Unlisted Company
- ☐ 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

Entity Trade Address

Postal code

Country of address

Telephone (Work)

(Include country dialling code e.g. South Africa +27)

Entity e-mail Address

Old Mutual's preferred method of communication is e-mail

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

Date of birth D D M M C C Y Y

7. TRANSFER TO (TRANSFEREE): FOR ENTITIES CONTINUED

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 ______ Nationality start date D D M M C C Y Y

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 ______
(Include country dialling code e.g. South Africa +27)

Alternative Number ______
(Include country dialling code e.g. South Africa +27)

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

8. TRANSFEREE'S BANK DETAILS

Surname of account holder ______ Initials ______

Bank and branch ______

Branch code and account number ______

Account type: ☐ Current ☐ Savings

DISTRIBUTION SELECTION

☐ Paid out* or ☐ Reinvested** Please note if no selection is made, distributions are automatically reinvested.

* **Should the distribution payment fail and be returned as a result of banking details not being maintained and/or updated by the client, the distribution amount will be automatically reinvested into the fund from which it was paid.**

** **If no choice is made, we will default to reinvesting distributions.**

9. OLD MUTUAL SHARI'AH-COMPLIANT FUND RANGE

IF TRANSFERRING TO A 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.

D	D	M	M	Y	Y	Y	Y

Date

Signature of investor

10. PROTECTION OF PERSONAL INFORMATION ACT (POPIA)

The Old Mutual Group would like to offer you ongoing financial services and may use your personal information to provide you with information about products or services that may be suitable to meet your financial needs. Please SMS your ID number to 30994 if you would prefer not to receive such information and/or financial services.

Please click here to read Old Mutual full Privacy Notice.

11. DISCLAIMER

- We believe in the value of sound advice and so recommend that you consult a financial planner before buying or selling unit trusts. You may however, buy and sell without the help of a financial planner. If you do use a financial planner, we remind you that they are entitled to certain negotiable planner 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 our funds, except for our money market funds, where the cut-off is at 12:30. The valuation time is set at 15:00 each working day for all our funds, excluding our money market funds which is at 13:00, 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 range at 17:00 close). Daily prices are available on our public website (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 (including the Low Balance Charge), both available on our public website (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, Registration Number 1965/008471/07 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.

12. DECLARATION – FOR INDIVIDUALS

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

Old Mutual Unit Trusts aims 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. Old Mutual Unit Trust Managers (RF) (Pty) Ltd's Terms and Conditions may be updated from time to time, however, our latest Terms and Conditions will always be displayed on our public website at www.oldmutualinvest.com and on our Client and Planner secure websites.

We will inform you when we make changes to our Terms and Conditions. When you submit your investment instruction(s) you confirm the following:

- I declare that the purpose of this contract is to meet my investment objectives, and the proceeds linked thereto will be applied for that purpose.
- 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 am aware that this product offers no cooling-off rights.
- I 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 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 trusts' objectives, risk factors, the charges, including the low balance charge and income distributions, as set out in the unit trust fund fact sheet/s.
- I acknowledge that Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- I 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 hereby authorise Old Mutual Unit Trust Managers (RF) (Pty) Ltd to debit the account mentioned above with the monthly amount/lump sum specified.
- I am aware that once my investment has been processed, Old Mutual Unit Trust Managers (RF) (Pty) Ltd will confirm the EAC to me in writing.
- I have read and am aware of the unit trusts' objectives, risk factors, the charges (including the Low Balance Charge) and income distributions, as set out in the unit trust fund fact sheet/s (Minimum Disclosure Document).
- I 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 undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should information contained in this form change.
- I 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 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.
- I have read and fully understood all the pages of this application form.

Name of Transferee

Signature of Transferee

Capacity, e.g. Executor/guardian/institution

Date D D M M Y Y Y Y

Name of Witness

Signature of Witness

14. DECLARATION OF AUTHORISED SIGNATORY/IES – FOR ENTITIES

Old Mutual Unit Trusts aims 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. Old Mutual Unit Trust Managers (RF) (Pty) Ltd's Terms and Conditions may be updated from time to time, however, our latest Terms and Conditions will always be displayed on our public website at www.oldmutualinvest.com and on our Client and Planner secure websites.

We will inform you when we make changes to our Terms and Conditions. When you submit your investment instruction(s) you confirm the following:

- I declare that the purpose of this contract is to meet my investment objectives, and the proceeds linked thereto will be applied for that purpose.
- 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 trusts' objectives, risk factors, the charges, including the low balance charge 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 Old Mutual Unit Trust Managers (RF) (Pty) Ltd to accept instructions from me via facsimile (please delete if not applicable).
- I/we am aware that 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 trusts' objectives, risk factors, the charges (including the Low Balance Charge) 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.

			D	D	M	M	Y	Y	Y	Y
		Date								
Name of authorised signatory	Signature of authorised signatory		D	D	M	M	Y	Y	Y	Y
		Date								
Name of authorised signatory	Signature of authorised signatory									

CONTACT DETAILS

Old Mutual Unit Trust Managers (RF) (Pty) Ltd
Registration no.: 1965/08471/07
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
Email: 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 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 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.