



OLD MUTUAL UNIT TRUSTS RETAIL INVESTOR HEDGE FUNDS – ENTITY NEW BUSINESS FORM



This form is for retail hedge fund investors, investing in the name of a legal entity such as a company/trust/partnership or in the name of a club or association.

IMPORTANT INFORMATION



1. Please refer to the Old Mutual Unit Trusts Retail Hedge Fund PRE-INVESTMENT DOCUMENT for more information on our Retail Hedge Funds. The Financial Intelligence Centre Act (FICA) requires that documents have to be provided for every individual listed. We cannot process your application without the relevant information.
2. Please ensure sections are fully completed, including Annexure A and C where relevant, and sign section 12. 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. 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 8) can be **emailed to GroupUTRCorporates@oldmutual.com**.
5. Illegible and incomplete forms may lead to delays.
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.

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.

OLD MUTUAL UNIT TRUSTS CONTACT DETAILS



Helpline telephone: 0860 234 234
 Telephone (if dialing from outside South Africa): +27(0)21 503 1770
 Email address: unittrusts@oldmutual.com
 Website address: www.oldmutualinvest.com
 Invest Online: <https://www.oldmutualinvest.com/all-products>

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 contract number

Does this application to buy units include a Money Market Unit Trust Fund?

No Yes



3. DETAILS OF AUTHORISED PERSON (MANDATORY) CONTINUED

Employment Position of Authorised Person:

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

- | | |
|--|--|
| <input type="checkbox"/> Chairperson of the Audit Committee | <input type="checkbox"/> Chief Financial Officer |
| <input type="checkbox"/> Chairperson of the Board of Directors | <input type="checkbox"/> 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:

- | | |
|--|--|
| <input type="checkbox"/> Executive Management/Director | <input type="checkbox"/> Senior Management |
| <input type="checkbox"/> Foreman/Supervisor | <input type="checkbox"/> Self-employed |
| <input type="checkbox"/> General Employee/Non-management | <input type="checkbox"/> Retired |
| <input type="checkbox"/> Managing Director | <input type="checkbox"/> Unemployed |
| <input type="checkbox"/> Non-Senior management | |

Industry or Nature of Business:

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



3. DETAILS OF AUTHORISED PERSON (MANDATORY) CONTINUED

Industry or Nature of Business: CONTINUED

- Manufacturing (Non-Import/Export) Wholesale and Retail trade: *High-cash generating
- Mining/Extraction of precious metals and minerals: Extractive industries Wholesale and Retail trade: *High-value goods
- Mining/Extraction of precious metals and minerals: *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.

4. HOW TO INVEST

Old Mutual Unit Trusts has a set minimum investment amount. We reserve the right to not debit or to stop debiting your account under certain circumstances.

Lump sum investment

A Please debit my bank account with * on
* The transaction reference you will view on your bank statement for this instruction will be OM UNITTRU followed by your unit trust contract 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

1. Email your completed application form and supporting documents to GroupUTRCorporates@oldmutual.com.
2. Once we have received all your documentation, we will email your confirmation letter reflecting our bank account details and your unit trust contract number. Please use your contract number in your reference (no prefix to be used) when making an Electronic Funds Transfer (EFT).
3. Please email proof of payment of the investment amount to GroupUTRCorporates@oldmutual.com by 12:30 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 Servicing Team on +27(0)21 509 7140.

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

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

Percentage increase: 5% 10% 15% or % Please increase my debit order on

UNIT TRUST FUND SELECTED FOR INVESTMENT

UNIT TRUST FUND NAME	CLASS	LUMP SUM AMOUNT: Indicate Rand or % Allocation		DEBIT ORDER AMOUNT: Indicate Rand or % Allocation	
		Rand	%	Rand	%
OLD MUTUAL MULTI-MANAGERS DIVERSIFIED RI HEDGE FUND OF FUNDS					
TOTAL		R	100%	R	100%

INVESTMENT CONTRACT MINIMUMS

Monthly: R500

Lump sum: R10 000

Ad hoc: R500 (in addition to your monthly or lump sum investment)



4. HOW TO INVEST CONTINUED

Distributions selection:

Should you not make a selection below, your distributions will automatically be reinvested.

Payout*

Re-invest to existing fund account

Re-invest to new fund account

Name of fund account

* 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.

5. ENTITY DETAILS

As per legislation we require that the source of income and source of funds is confirmed for this transaction in order for us to process your investment.

Entity's source of income

Source of funds for this transaction:

Company/Entity profits

Investments

Contributions

Loan

Donation/Gift

Entity Industry or Nature of Business:

Administrative and Support Service

Mining/Extraction of precious metals and minerals: Imports/Exports

Adult Entertainment

Motor trade/dealership

Agriculture, Forestry and Fishing

Motor trade/dealership: *High-cash value

Animal & Conservation

Motor trade/dealership: Imports/Exports

Arms Manufacturers and Dealers

Non-Profit Organisation, NGO etc.

Art Dealer

Professional Services

Art Dealer of *high-value goods

Public Sector: Defence and Safety

Arts, Entertainment and Recreation

Public Sector: Procurement, Infrastructure and Administration

Atomic/Nuclear power generation

Real Estate and Property

Construction and Infrastructure

Real Estate: Development, Sales and/or Letting

Cryptocurrency assets

Real Estate: Development, Sales and/or Letting – *High-cash generating

Education, Healthcare and Social work

Red light/Adult Entertainment Industry

Financial and Insurance

Regulated/Registered charities/Non-Profit Organisation/NGO: *High-cash generating

Gambling Industry (Casino, slot machines, betting)

Regulated/Registered charities/NPO/NGO

Hospitality

Science and Laboratories

Imports/Exports: Agriculture/Forestry and Fishing

Transporting, Storage and Logistics (excluding imports/exports)

Imports/Exports: *High-cash generating

Unregulated/Unregistered charities/Non-Profit Organisation/NGO: *High-cash generating

Imports/Exports: *High-value goods

Unregulated/Unregistered charities/NPO/NGO

Imports/Exports: Other

Utilities



5. ENTITY DETAILS CONTINUED

Entity Industry or Nature of Business: continued

- | | |
|---|--|
| <input type="checkbox"/> Information Communication and Technology | <input type="checkbox"/> Virtual Asset Service Providers |
| <input type="checkbox"/> Manufacturing (Import/Export) | <input type="checkbox"/> Wholesale and Retail trade |
| <input type="checkbox"/> Manufacturing (Non-Import/Export) | <input type="checkbox"/> Wholesale and Retail trade: *High-cash generating |
| <input type="checkbox"/> Mining/Extraction of precious metals and minerals: Extractive industries | <input type="checkbox"/> Wholesale and Retail trade: *High-value goods |
| <input type="checkbox"/> Mining/Extraction of precious metals and minerals: *High-value goods | <input type="checkbox"/> 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.

Type of assets Retail Institutional

- **Institutional assets** refer to assets held or managed on behalf of institutional investors, i.e. retirement funds, long-term insurers, collective investment scheme managers and investment managers registered with Exchange Control as institutional investors for exchange control purposes.
- **Retail assets** refer to assets received from individuals and other entities, such as companies and trusts and include retail assets received indirectly through an intermediary, such as a linked investment service provider (LISP), nominee company or an investment manager **not** registered as an institutional investor with Exchange Control.

6. 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)
- (l) Any person to the extent that the dividend constitutes income of that person (i.e. falls into the normal tax system)
- (n) Fidelity and indemnity funds contemplated in section 10 (1)(d)(iii) of the Income Tax Act
- (y) Double Taxation Agreement
- (z) Other International Agreement
- 64H2(B) – distribution to other regulated intermediary

"regulated intermediary" means any –

- central securities depository participant contemplated in section 32 of the Financial Markets Act;
- authorised user as defined in section 1 of the Financial Markets Act;
- approved nominee contemplated in section 76 (3) of the Financial Markets Act;
- nominee that holds investments on behalf of clients as contemplated in section 9.1 of Chapter 1 and section 8 of Chapter II of the Codes of Conduct for Administrative and Discretionary Financial Service Providers, 2003 (Board Notice 79 of 2003) published in *Government Gazette* No. 25299 of 8 August 2003;
- portfolio of a collective investment scheme in securities;
- transfer secretary that is a person other than a natural person and that has been approved by the Commissioner subject to such conditions and requirements as may be determined by the Commissioner; or
- a portfolio of a hedge fund collective investment scheme.



6. CONFIRMATION OF TAX STATUS FOR WITHHOLDING TAX CONTINUED

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

I/We [] (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.

[]

[]

Date [] [] [] [] [] [] [] [] [] []

Authorised signatory/ies

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 forthwith inform the Withholding Agent in writing should the circumstances of the beneficial owner referred to in the declaration above change.

[]

Date [] [] [] [] [] [] [] [] [] []

Signature (Duly authorised to do so)

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

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

[]

Date [] [] [] [] [] [] [] [] [] []

Signature (Duly authorised to do so)

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

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

Regular Withdrawals (Sells)*

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 your Money Market Fund account is accepted.

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

Note: This regular switch or sell instruction will remain in place until either of the following scenarios take place: the stated end date is reached; the instruction is cancelled by you; or the last transaction draws on the last units available in the specified fund(s).



8. 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.

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 5% 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 5% 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 5% or more voting rights in the company
- Name, address, and appropriate founding document of any institution that holds 5% 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 CoR 14.1 (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).

9. 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.



10. ENTITY TAX DECLARATION (MANDATORY)

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

- (a) 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.
- (b) 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:

- (A) Contracting Party Nature, Classification & Tax residency;
- (B) Protection of Personal Information (PPI)
- (C) Controlling Person(s) self-certification;
- (D) 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.

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		
Companies		
· Listed company		
· Public unlisted company		
· Private company		
Funds		
· 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 B.



10. ENTITY TAX DECLARATION CONTINUED

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	<input type="checkbox"/> US person that is not a Specified US person
<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 A.

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 B (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:



10. ENTITY TAX DECLARATION CONTINUED

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).

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

Sponsor GIIN number

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

Own GIIN number



10. ENTITY TAX DECLARATION CONTINUED

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
- The Financial Institution is a Specified US Person
- The Financial Institution is a US person but not a Specified US Person

d) 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

2.2.2 FINANCIAL INSTITUTION|CRS

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 an Associated and/or Controlling Person Form for each controlling person as defined on the attached form 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 ?				*



10. ENTITY TAX DECLARATION CONTINUED

* 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

[Number input boxes]

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

Signed at (place) [] on (date) [D D M M C C Y Y]

[Signature box for authorised person]

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

[Signature box for controlling person]

Signature of controlling person

11. FUND SPECIFIC RISK DISCLOSURES

Leverage Risk: The underlying funds borrow additional funds, trade on margin or perform short sale trades to amplify investment decisions. This means that the volatility of a hedge fund portfolio can be many times that of the underlying investments due to leverage on a fund. This risk is managed by limiting the commitment exposure of the fund to 200%, as required by the regulations.

Derivative Risk: Derivative positions are financial instruments that derive their value from an underlying asset. Derivatives are exposed to implicit leverage which could result in magnified gains and/or losses on the portfolio.

Counterparty Credit Risk: Counterparty risk is a type of credit risk and is the risk of default by the counterparty associated with trading derivative contracts. An example of counterparty credit risk is margin or collateral held with a prime broker.

Volatility Risk: Volatility refers to uncertainty and risk is related to the size of the change of an instrument or of the portfolios' value. It is a statistical measure of the dispersion of returns for a given security or market index. Volatility is proportional to the directional exposure of a portfolio and is measured by commitment approach to a max leverage of 200%, which is a statistical technique used to measure and quantify the level of volatility.

Concentration and Sector Risk: A large proportion of total assets invested in specific assets, sectors or regions. Concentrated positions or concentrated sectors in a portfolio will materially impact the returns of the portfolio more so than a diversified portfolio.

Correlation Risk: A measure that determines how assets move in relation to each other. Correlation risk arises when the correlation between asset-classes change. Correlation risk also arises when the correlation within an asset-class changes. Examples of correlation within asset classes include equity pairs trading, fixed income curve trading and commodities pairs trading.

Equity Risk: Applies to investment in shares or derivatives based on shares. The market price of shares varies depending on supply and demand of the shares. Equity risk is the risk of loss due to the drop in the market price of shares. Equity risk can either be systematic risk which is risk to the entire market based on political and economic indicators or unsystematic risk which is company specific and includes risk relating to company profits, future prospects and general consensus on the company or sector.

Liquidity Risk: Is the potential difficulty an institution or individual may face in obtaining funds or converting assets into cash without incurring significant losses. The fund manages this risk by investing into liquid, daily traded funds.

Stress-testing Methodology: The fund undergoes daily stress testing, which evaluates its characteristics across various scenarios, including times of market dislocation and liquidity crises. These simulated events are derived from historical occurrences and generated within the RiskCafe system, in compliance with regulatory requirements.

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 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 planner, we remind you that they are entitled to certain negotiable planner fees or commissions.
Investments in unit trusts should ideally be a medium- to long-term strategy that takes cognisance of the Recommended Investment Term of each individual fund as stipulated in its Minimum Disclosure Document. A fund's or an investment strategy's ability to provide benchmark performance, or to achieve its performance target over its Recommended Investment Term on a net of fee basis may be impacted by market illiquidity, differences in fund and market pricing points, concentration risk and other local (and where applicable global) events, such as market- and political developments, macro-economic factors and healthcare risks such as Covid-19, amongst others. Your fund value may therefore go up or down and the investment capital or return on your investment is not guaranteed. How a fund has performed in the past does not necessarily indicate how it will perform in the future.



OLD MUTUAL UNIT TRUSTS RETAIL INVESTOR HEDGE FUNDS – ENTITY NEW BUSINESS FORM



11. FUND SPECIFIC RISK DISCLOSURES CONTINUED

- The fund fees and costs that we charge for managing your investment are disclosed in this Minimum Disclosure Document (MDD) and in the table of fees and charges, both of which are available on our public website or from our contact centre.
- Additional information of the proposed investment, including brochures, application forms and annual or quarterly reports, can be obtained, free of charge, from Old Mutual Unit Trust Managers (RF) (Pty) Ltd, from our public website at www.oldmutualinvest.com or our contact centre on 0860 234 234.
- 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 the public website and in the media.
- Unit trusts are traded at ruling prices, may borrow to fund client disinvestments and may engage in scrip lending. 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 on issue.
- Excessive daily withdrawals from the fund may place the fund under liquidity pressures. In such circumstances a process of ring-fencing of withdrawal instructions and/or managed payouts over time may be followed.
- This fund holds assets in foreign countries and therefore it may have risks regarding liquidity, the repatriation of funds, political and macroeconomic situations, foreign exchange, tax, settlement, and the availability of information.
- A fund of fund is a portfolio that invests in other funds which levy their own charges, which could result in a higher fee structure for the fund of funds.
- Old Mutual Unit Trust Managers (RF) (Pty) Ltd is the manager of this co-branded fund and has full legal responsibility for it.

Old Mutual Multi-Managers is a Division of Old Mutual Life Assurance Company (South Africa) Limited. A licensed Financial Services Provider and Life Insurer.

Old Mutual Unit Trust Managers (RF) (Pty) Ltd, registration number 1965 008 47107, 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). Old Mutual Unit Trusts Managers has the right to close the portfolio to new investors in order to manage it more efficiently in accordance with its mandate. Tel: 0860 234 234, Internet: www.oldmutualinvest.com, Email: unittrusts@oldmutual.com

The Custodian of the Retail Hedge Fund is Standard Bank, PO Box 54, Cape Town 8000. Tel: +27 21 401 2002, Fax: +27 21 401 3887.

12. DECLARATION OF AUTHORISED SIGNATORY/IES

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/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 (Minimum Disclosure Document).
- 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.
- 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 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.

Authorised signatory

Authorised signatory

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

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



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

Board Members:

Mr K Williams (Managing Director), Mr F Sader (Executive Director), Mr JR Minnaar (Executive Director), Mr P Dempsey (Non-Executive Director – Chairman), Ms LA Harvey (Non-Executive Director), Mr TJ Tapela (Non-Executive Director), Mr R Briesies (Non-Executive Director).

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.

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.



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION

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

<p>Controlling Person(s) (an individual who has control over an entity)</p>	<p>Controlling persons include:</p> <ul style="list-style-type: none"> · For companies: An individual that holds 5% or more “interest” in the company. Where a trust has a 5% “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. · For a close corporation: Any member with a 5% “interest” in the Close Corporation. · For a partnership: Every partner, and any other person exercising executive control over the partnership. · For a trust: Each and every trustee, the settlor, the protector(s) of the trust, the beneficiaries and any person exercising executive control over the trust.
<p>Interest</p>	<p>“Interest” is defined either as a beneficial interest, ownership interest, or voting rights held directly or indirectly or a combination of both.</p>

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

Date of birth

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"/>

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



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

2. PERSONAL DETAILS (MANDATORY) CONTINUED

Country of citizenship:

Country of birth:

Country of residence:

Country of nationality: Nationality start date

D	D	M	M	C	C	Y	Y

Cellphone

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(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

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 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.)



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

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.

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Signed at (place)

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

on (date)

D	D	M	M	C	C	Y	Y													

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

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

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

Signature of controlling person



OLD MUTUAL UNIT TRUSTS RETAIL INVESTOR HEDGE FUNDS – ENTITY NEW BUSINESS FORM



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.
- the Regulations issued by the US Treasury for FATCA.

Active NFFE (FATCA)/Active NFE (CRS)	<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"> 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; 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; 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; 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; 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; 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; 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; 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; The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or The NFFE/NFE meets all of the following requirements: <ol style="list-style-type: none"> 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; It is exempt from income tax in its jurisdiction of residence; *It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; *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 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.
Depository Institution (CRS and FATCA)	Entities that accept deposits in their normal course of business, such as banks.
Entity	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).
Financial Institution (CRS and FATCA)	<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"> 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 the period during which the Entity has been in existence.
International Organisation	<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"> that is comprised primarily of non-U.S. governments (FATCA)/that is comprised primarily of governments (CRS); that has in effect a headquarters agreement with South Africa or a non-US government (FATCA)/with the jurisdiction (CRS); and the income of which does not inure to the benefit of private persons.
Investment Entity (CRS)	<p>Any Entity:</p> <ol style="list-style-type: none"> 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"> 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; Individual and collective portfolio management; or Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or 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.



OLD MUTUAL UNIT TRUSTS RETAIL INVESTOR HEDGE FUNDS –
ENTITY NEW BUSINESS FORM



ANNEXURE B – EXPLANATORY MEMORANDUM CONTINUED

Investment Entity (FATCA)	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.
Non-Financial Entity (NFE) (CRS)	Any Entity that is not a Financial Institution.
Non-Financial Foreign Entity (NFFE) (FATCA)	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.
Passive NFE (CRS) for the purposes of this form	Any NFE that is not an Active NFE.
Passive NFFE (FATCA)	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.
Related Entity	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.
South African Financial Institution	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.
South African Governmental Entity	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.
Specified Insurance Company (CRS and FATCA)	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.
Trustee documented Trust	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"
U.S. Person	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 []

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 Charitable organisation 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 [] % Payer's Reason for paying on behalf of Entity [] Payer's source of Funds []

2. PERSONAL DETAILS OF RELATED PARTY (MANDATORY)

Please note all fields must be completed.

2.1 INDIVIDUALS

Title [] Mr [] Ms [] Mrs Other [] Initials [] Title and surname [] [] Full first names [] Date of birth [] [] [] [] [] [] [] [] Gender: [] Male [] Female Country of birth [] Country of Nationality [] Nationality start date [] [] [] [] [] [] [] [] [] [] [] [] [] [] [] []

Table with 5 columns: 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

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

2.2 ENTITY

Entity registration name [] Entity registration number [] Entity registration date [] Country of organisation or incorporation []



ANNEXURE C – RELATED PARTY INFORMATION FORM CONTINUED

Industry or Nature of Business:

- | | |
|---|--|
| <input type="checkbox"/> Administrative and Support Service | <input type="checkbox"/> Mining/Extraction of precious metals and minerals: Imports/Exports |
| <input type="checkbox"/> Adult Entertainment | <input type="checkbox"/> Motor trade/dealership |
| <input type="checkbox"/> Agriculture, Forestry and Fishing | <input type="checkbox"/> Motor trade/dealership: *High-cash value |
| <input type="checkbox"/> Animal & Conservation | <input type="checkbox"/> Motor trade/dealership: Imports/Exports |
| <input type="checkbox"/> Arms Manufacturers and Dealers | <input type="checkbox"/> Non-Profit Organisation, NGO etc. |
| <input type="checkbox"/> Art Dealer | <input type="checkbox"/> Professional Services |
| <input type="checkbox"/> Art Dealer of *high-value goods | <input type="checkbox"/> Public Sector: Defence and Safety |
| <input type="checkbox"/> Arts, Entertainment and Recreation | <input type="checkbox"/> Public Sector: Procurement, Infrastructure and Administration |
| <input type="checkbox"/> Atomic/Nuclear power generation | <input type="checkbox"/> Real Estate and Property |
| <input type="checkbox"/> Construction and Infrastructure | <input type="checkbox"/> Real Estate: Development, Sales and/or Letting |
| <input type="checkbox"/> Cryptocurrency assets | <input type="checkbox"/> Real Estate: Development, Sales and/or Letting – *High-cash generating |
| <input type="checkbox"/> Education, Healthcare and Social work | <input type="checkbox"/> Red light/Adult Entertainment Industry |
| <input type="checkbox"/> Financial and Insurance | <input type="checkbox"/> Regulated/Registered charities/Non-Profit Organisation/NGO: *High-cash generating |
| <input type="checkbox"/> Gambling Industry (Casino, slot machines, betting) | <input type="checkbox"/> Regulated/Registered charities/NPO/NGO |
| <input type="checkbox"/> Hospitality | <input type="checkbox"/> Science and Laboratories |
| <input type="checkbox"/> Imports/Exports: Agriculture/Forestry and Fishing | <input type="checkbox"/> Transporting, Storage and Logistics (excluding imports/exports) |
| <input type="checkbox"/> Imports/Exports: *High-cash generating | <input type="checkbox"/> Unregulated/Unregistered charities/Non-Profit Organisation/NGO: *High-cash generating |
| <input type="checkbox"/> Imports/Exports: *High-value goods | <input type="checkbox"/> Unregulated/Unregistered charities/NPO/NGO |
| <input type="checkbox"/> Imports/Exports: Other | <input type="checkbox"/> Utilities |
| <input type="checkbox"/> Information Communication and Technology | <input type="checkbox"/> Virtual Asset Service Providers |
| <input type="checkbox"/> Manufacturing (Import/Export) | <input type="checkbox"/> Wholesale and Retail trade |
| <input type="checkbox"/> Manufacturing (Non-Import/Export) | <input type="checkbox"/> Wholesale and Retail trade: *High-cash generating |
| <input type="checkbox"/> Mining/Extraction of precious metals and minerals: Extractive industries | <input type="checkbox"/> Wholesale and Retail trade: *High-value goods |
| <input type="checkbox"/> Mining/Extraction of precious metals and minerals: *High-value goods | <input type="checkbox"/> 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.

Nature of Entity:

- | | |
|---|--|
| <input type="checkbox"/> Close corporation | <input type="checkbox"/> Other funds |
| <input type="checkbox"/> Government/Provincial Administration/Municipality or Government/Provincial Administration/Municipality owned company | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Investment Club | <input type="checkbox"/> Private Company |
| <input type="checkbox"/> Listed company | <input type="checkbox"/> Retirement fund |
| <input type="checkbox"/> Non-Government Organisation (NGO) | <input type="checkbox"/> Special Trust |
| <input type="checkbox"/> Non-Profit Organisation (NPO) | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Other entity types (club, association, informal body, burial society, church, school) | <input type="checkbox"/> Unlisted Public Company |



ANNEXURE C – RELATED PARTY INFORMATION FORM CONTINUED

3. CONTACT DETAILS OF RELATED PARTY (MANDATORY)

Residential/Physical 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

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.

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

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) on (date)
 D D M M C C Y Y

Signature of related party

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