



Strategic Investment Service Management Company (RF) (Pty) Ltd
Mutualpark, Jan Smuts Drive, Pinelands ■ PO Box 44604, Claremont 7735, South Africa.
Telephone no.: +27(0)21 524 5017 ■ E-mail: sisadministrator@oldmutual.com

Please provide us with your updated personal details to enable us to serve you better. The completed form can be scanned and emailed to sisadministrator@oldmutual.com,

1. ENTITY DETAIL

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

Please provide your unit trust contract number [grid]

Investing Entity Trade Name (e.g. Fund/Investment Product/Fund of Funds/ Nominee Company Ref) [grid]

Entity Name of Holding Company/Management Company/Nominee Company [grid]

Entity Name Registration number [grid] Entity Registration Date [grid] D D M M Y Y Y Y

Entity Tax Number [grid] Entity VAT Number [grid]

Type of Entity [] Listed Company [] Unlisted Company [] Trust [] Partnership [] LISP [] Close Corporation [] Fund of Funds [] Retirement Fund

Other [grid]

Country Of Organisation or Incorporation [grid]

Entity's Registered Address [grid] Postal code [grid]

Country of address [grid]

Entity Trade Address [grid] Postal code [grid]

Country of address [grid]

Entity telephone number [grid] (Include country dialling code e.g. South Africa +27)

Entity email address [grid]

(Strategic Investment Service Management Company (RF) Pty Ltd's preferred method of communication is email)



2. DETAILS OF AUTHORISED PERSON (MANDATORY)

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

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

Title and surname

Full first names

Gender: Male Female

Table with 5 columns: Type of Identification (ID or Passport) Refugee, Country of issue (ID or passport), ID/Passport number, Issue date, Expiry date of passport

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

Residential address Postal code

Country of address

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

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

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

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)

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

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

E-mail Address (Strategic Investment Service Management Company (RF) Pty Ltd's preferred method of communication is email)



3. BANK DETAILS FOR THE ENTITY

Payment can be made to the investor's bank account only.

Name, Bank and branch, Branch code and account number, Account type: Current, Savings

4. INCOME VERIFICATION

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

Entity's source of income, Industry/Nature of Business, Type of assets: Retail, Institutional

- Institutional assets refer to assets held or managed on behalf of institutional investors...
• Retail assets refer to assets received from individuals and other entities...

Industry or Nature of Business:

* Note: Old Mutual Unit Trusts do not accept nor process investments from Shell Banks.

Grid of industry categories with checkboxes: Administrative and Support service, Adult Entertainment, Agriculture/Forestry and Fishing, Arms Manufacturers and Dealers, Art Dealer, 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, Information/Communication and Technology, Manufacturing (Import/Export), Manufacturing (Non-Import/Export), Mining: Extraction of precious metals and minerals, Motor trade/dealership, Real Estate: Development, Sales and/or Letting, Professional Services, Public Sector: Defence and Safety, Public Sector: Procurement, Infrastructure and Administration, Regulated/Registered charities/NPO/NGO, Science and Laboratories, Transporting, Storage and Logistics (excluding imports/exports), Unregulated/Unregistered charities/NPO/NGO, Utilities, Wholesale and Retail trade, None: Only allowed if retired/unemployed

Other Services (please specify)

Public Sector: Other



5. CONFIRMATION OF TAX STATUS FOR WITHHOLDING TAX

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

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

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

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

[]

[]

Authorised signatory/ies

Date [D D M M Y Y Y Y]



7. SUPPORTING DOCUMENT REQUIREMENTS

To comply with FICA requirements, investors must supply the applicable documents listed below before we can process your investment.

For a detailed list reference of verification requirements please [click here](#).

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

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

ALL OTHER INSTITUTIONAL INVESTORS MUST SUBMIT:

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

PENSION FUND ORGANISATIONS MUST ALSO SUBMIT:

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

CLOSE CORPORATIONS CC MUST ALSO SUBMIT:

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

PARTNERSHIPS MUST ALSO SUBMIT:

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

TRUSTS (EXCEPT TESTAMENTARY TRUSTS) MUST ALSO SUBMIT:

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

ALL SOUTH AFRICAN AND FOREIGN COMPANIES MUST ALSO SUBMIT:

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

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

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

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

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

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

Please submit the following notices if they apply:

- Incorporation or Amended 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).



8. 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.

The Old Mutual Group may use, share or obtain your personal information (including criminal and/or health information) for the following purposes:

- Underwriting
- Assessment and processing of claims
- Where applicable, credit reference searches or verification, credit scoring and assessment and credit management
- Verification of personal information (including your identity, address and banking details)
- Updating your personal information
- Claims checks (ASISA Life & Claims Register(s))
- Tracing beneficiaries
- Debt tracing or debt recovery
- Tracing you where you are uncontactable
- Prevention and detection of fraud, crime, money laundering (including anti-money laundering screening) or other malpractice
- Market or customer satisfaction research or statistical analysis
- Audit & record keeping purposes
- Compliance with legal & regulatory requirements and in connection with legal proceedings
- Sharing information with service providers we engage to process such information on our behalf or who render services to us. These service providers may be abroad, but we will not share your information with them unless we are satisfied that they have adequate security measures in place to protect your personal information.

You agree that Old Mutual may view, search and update your information.

You may access your personal information that we hold and may also, under certain circumstances, request us to correct any errors or to delete this information. In certain cases you have the right to object to the processing of your personal information.

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

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

General enquiries: inforeg@justice.gov.za

Complaints: complaints.IR@justice.gov.za

To view our full privacy notice and to exercise your preferences, please visit our website on www.oldmutualinvest.com.

9. 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.

9. ENTITY TAX DECLARATION CONTINUED**1. NATURE OF ENTITY (MANDATORY)**

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

Nature of Entity	South African	*Foreign
Close corporation		
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 A.

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

2.1.1 NON-FINANCIAL ENTITY|FATCA

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

Please select (✓) the applicable entity classification below:

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

2.1.2 NON-FINANCIAL ENTITY|CRS

Please select (✓) the applicable entity classification below:

<input type="checkbox"/> Active NFE A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. Please complete Section 2.1.3 below	<input type="checkbox"/> Active NFE A government entity, a central bank or an international organisation.
<input type="checkbox"/> Active NFE Other than as detailed above. Please complete Section 2.1.3 below	<input type="checkbox"/> Passive NFE Please complete a controlling person self-certification form for each controlling person as defined in Annexure C.



9. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

2.1.3 ACTIVE NFFE/NFE (ADDITIONAL INFORMATION)

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

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

which is an established securities market; or

b) The Account Holder is a related Entity of [grid]

a corporation, the stock of which is regularly traded on

[grid]

which is an established securities market; or

c) Note that an "Active NFFE" means any NFFE that meets any of the criteria described in annexure A (explanatory memorandum), (a) to (j). The account holder is one of the following:

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

[text box for other classification]

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 [grid]

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).



9. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

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

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

Empty text box for specifying other classification

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 grid with 20 columns and 1 row

Sponsor GIIN number grid with 15 columns and 1 row

Own GIIN number grid with 15 columns and 1 row

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

The Financial Institution is a Non-Participating Foreign Financial Institution

d) The Financial Institution is a Specified US Person - Please attach completed W9

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

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

Please select (✓) the applicable classification:

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

Empty text box for specifying other classification



9. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

2.2.2 FINANCIAL INSTITUTION|CRS (MANDATORY)

Please select (✓) the applicable classification:

- Two checkboxes with text describing classification options for Investment Entity and Financial Institution under CRS.

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.

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.

Table with 4 columns: Country resident in for tax purposes, Yes, No, Please specify country resident in for tax purposes, Income tax reference number (*mandatory). Rows include South Africa, United States of America, and other countries.

*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:

- Three checkboxes with reasons: Reason A (country/jurisdiction does not issue TINs), Reason B (unable to obtain TIN), Reason C (no TIN required).

4. DECLARATIONS AND UNDERTAKINGS

- Four bullet points regarding acknowledgment of false statements, examination of information, and disclosure obligations.

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

Grid of 12 empty boxes for contract/account/policy number.

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

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

Signature of controlling person []



10. DISCLAIMER

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

- We believe in the value of sound advice and so recommend that you consult a financial 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 times for client transactions (e.g. buying and selling) is at 15:00 each working day for all funds, except the Money Market Fund, which is 11:00. We value our funds at 15:00, except for the Money Market Fund which is valued at 13:00. At month-end we value all the SIS Fund of Funds at 17:00 close). Daily prices are available on request from our contact centre (+27 21 524 5017) and in the media.
- The daily ruling price is based on the current market value of the fund's assets plus income minus expenses (NAV of the portfolio) divided by the number of units in issue.
- The fund fees and costs that we charge for managing your investment is accessible on the relevant fund's minimum disclosure document (MDD) or Table of fees and charges, both available on our public website (www.oldmutualinvest.com), or from our contact centre (+27 21 524 5017).
- Additional information on this proposed investment can be obtained, free of charge, from our public website or our contact centre.
- 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.
- 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.
- Strategic Investment Service Management Company (RF) (Pty) Ltd is a registered manager in terms of the Collective Investment Schemes Control Act 45 of 2002. The fund fees and costs that we charge for managing your investment is accessible on the relevant fund's minimum disclosure document (MDD) or Table of fees and charges, both available from our contact centre (+27 21 524 5017) or by email request to sisadministrator@oldmutual.com. Strategic Investment Service Management Company (RF) (Pty) Ltd is a subsidiary of Old Mutual, 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.

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.

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.

CONTACT DETAILS

Strategic Investment Service Management Company (RF) (Pty) Ltd

Registration no.: 1997/022003/07. VAT no.: 4230116479

Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa | PO Box 44604, Claremont 7735, South Africa

Telephone no.: +27(0)21 524 5017 | Email: sisadministrator@oldmutual.com

Complaints may be directed to the Client Relationship Manager at the above address. Our complaints process is available by contacting +27 21 524 5017.

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) Ltd and is a licensed financial services provider.



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION

1. CONTROLLING PERSON SELF-CERTIFICATION

Additional controlling person forms are available from: wwwi.oldmutual.me/omem/Tools/Form_Factory/Pages/Business-Unitsasapx

This form is to be completed for each Controlling person only if the investor is either:

- A Passive Non-Financial Entity (for FATCA)
- A Passive Non-Financial Entity (for CRS)
- An Investment Entity located in a jurisdiction that is not participating in CRS that is managed by a Financial Institution.

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

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

2. 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 %

3. PERSONAL DETAILS (MANDATORY)

Please note all fields must be completed:

Title and surname

Full first names

Gender: Male Female

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

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

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

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



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

4. 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 the South African Revenue Services, 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.

Table with 4 columns: Country resident in for tax purposes, Yes, No, Please specify country resident in for tax purposes, Income tax reference number (*mandatory). Rows include South Africa, United States of America, and other countries.

* 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.)

5. CONTACT DETAILS (MANDATORY)

Residential address grid with postal code field.

Country of address grid.

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

* Care of: Select "Yes", if you do not have a residential address of your own and require for your post to be directed to another person. If "Yes", please provide name of property owner or name of person who holds the rental agreement.

Name of property owner or person who holds the rental agreement grid.

Postal address (if different from above address) grid with postal code field.

Country of address grid.

Cellphone grid with instruction: (Include country dialling code e.g. South Africa +27)

Telephone (Home) grid with instruction: (Include country dialling code e.g. South Africa +27)

Telephone (Work) grid with instruction: (Include country dialling code e.g. South Africa +27)

E-mail Address grid.

Strategic Investment Service Management Company (RF) Pty Ltd preferred method of communication is e-mail



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/NFEE 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.



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

Contract number

Contract number

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

1. RELATED PARTY TYPES (MANDATORY)

Please select (✓) the appropriate classification for Entities:

Beneficiary Donor Founder Partner Protector

Spouse Beneficial owner Settlor Trustee Member

Benefit recipient

Authorised Person (acting/transact on behalf of)

Any person exercising executive control of the Trust/Partnership or Senior Managing Official Company

Holding Interest - Close Corporation/Shareholder %

Premium payer

2. PERSONAL DETAILS OF RELATED PARTY (MANDATORY)

Please note all fields must be completed.

2.1 INDIVIDUALS

Title Mr Ms Mrs Other Initials

Surname

Full names

Date of birth D D M M Y Y Y Y

Country of birth

Nationality

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

2.2 ENTITY

Entity registration name

Entity registration number

Entity registration date D D M M Y Y Y Y

Country of organisation or incorporation

