WEALTH

# SELLING FORM

**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: sisadminstrator@oldmutual.com

## IMPORTANT INFORMATION

1. Please complete all the relevant sections and sign section 8.
   We require all Investor and Tax Residence information for this transaction to be processed. If you have not provided us with your Tax Residence information before, or your details have changed, you will need to provide us with the updated information, as well as the instruction that the transaction can be processed.
   Individual Investors may complete the foreign tax residence detail in section 2 on this form.
   Entity and Institutional Investors are required to complete the Tax Residency Section and Annexure A of the Stratecgic Investment Service Entity Buying Form.
2. The completed form and supporting documentation (see below) can be scanned and emailed to sisadministrator@oldmutual.com. Illegible and incomplete forms may lead to delays. **Contact +27 21 524 5017 if you have any queries.**
3. Your transaction will be actioned once we receive the completed form and any required supporting documentation.
4. In the event that the proceeds are to be credited to a bank account outside of South Africa we require the appropriate permission from the South African Reserve Bank (SARB). Units will be sold once we have received SARB approval, at the price applicable at that time.
5. You can register via www.oldmutualinvest.com to view your portfolio.
6. Transactions will be confirmed to you in writing.

## SUPPORTING DOCUMENTATION REQUIREMENTS

Buying and selling requests require at least proof of identity (e.g. bar-coded ID/passport) and residential address (e.g. utility bill not older than 3 months), unless we have your current documents on record. The Financial Intelligence Centre Act (FICA) requires that documents have to be provided for every individual listed, including individuals acting on behalf of others. Institutional investors must also supply "Self-certification of Exchange Control Compliance" documentation, if applicable. We cannot process your application without the relevant information.

## PROCESSING TIMES

Our cut-off times for client transactions (eg. buying and selling) is at 15h00 each working day for all funds, except the Money Market Fund, which is 11h00. We value our funds at 15h00, except for the Money Market fund which is valued at 13h00.

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

## APPLICATION TO SELL UNITS

All transactions are subject to the conditions of the relevant Trust Deed(s).

Please provide unit trust contact number ☐☐☐☐☐☐☐☐☐

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

## 1. CLIENT'S DETAILS

**INDIVIDUAL IN WHOSE NAME INVESTMENT IS HELD**

Title and surname

Full first names

Gender: Male ☐ Female ☐

**Marital status:**

☐ Single ☐ Married ☐ Divorced ☐ Widowed

Other

**Marital status type:**

☐ Civil Marriage in Community of Property ☐ Civil Marriage with Accrual ☐ Civil Marriage without Accrual

Other

Occupation

## 1. CLIENT'S DETAILS CONTINUED

**Proof of Identity:**

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

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

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

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

**CONTACT DETAILS**

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 preferred method of communication is e-mail.**

Preferred method of communication E-mail ☐ Post ☐

**Residential address**

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

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

Address ______

Postal code ______

Country ______

**INDIVIDUAL IN WHOSE NAME INVESTMENT IS HELD**

Company/entity name ______

Full name of authorised representative ______

Country of Incorporation (if a legal entity) ______

Company Registration Number ______

Tax Number ______ Country of Tax Residency ______

VAT Number ______ VAT Registration Date D D M M C C Y Y

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## 2. YOUR BANK DETAILS

**Payments can only be made to the Investors own bank account.**

Surname of account holder | | Initials | |

Bank and branch

Branch code and account number

Account type: Current ☐ Savings ☐

## 3. SELLING INSTRUCTIONS

List the number of sell instructions from each fund account below:

UT Fund account number | | unit trust name | |

Please sell*: All units ☐ **OR** specify number of units | | **OR** units to the value of R

* Please select one sell option.

UT Fund account number | | unit trust name | |

Please sell*: All units ☐ **OR** specify number of units | | **OR** units to the value of R

* Please select one sell option.

UT Fund account number | | unit trust name | |

Please sell*: All units ☐ **OR** specify number of units | | **OR** units to the value of R

* Please select one sell option.

## 4. CHANGES TO YOUR MONTHLY INVESTMENT PLAN (OPTIONAL)

Distributions will be reinvested automatically if no selection is made. Unit trust minimums apply for new investments.

☐ Cancel existing debit order

| **UNIT TRUST FUND NAME** | **ACCOUNT NUMBER** (if existing) |
|---|---|
| | |
| | |
| | |
| | |

## 5. TAX RESIDENCY DETAIL

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

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

**Please answer the following questions and complete your tax reference number(s) in the table below, along with details of your identifications and any other nationality or citizenship, providing identification for each country for which you are a resident for tax purposes. Group12**

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

**TIN reason code table**

| Reason | Description | Please tick (✓) | Why is TIN unobtainable |
|---|---|---|---|
| **A** | The country/jurisdiction does not issue TINs to its residents | | |
| **B** | The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this reason) | | |
| **C** | No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction) | | |

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

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

Signature ________________

Date D D M M C C Y Y

## 6. PROTECTION OF PERSONAL INFORMATION

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

- Underwriting
- Assessment and processing of claims
- Credit searches and/or verification of personal information
- Claims checks (ASISA Life & Claims Register)
- Tracing beneficiaries
- Fraud prevention and detection
- Market research and statistical analysis
- Audit & record keeping purposes
- Compliance with legal & regulatory requirements
- Verifying your identity

Sharing information with service providers we engage to process such information on our behalf or who 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 may access your personal information that we hold and may also 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:

https://www.justice.gov.za/inforeg/index.html

Tel: 012 406 4818

Fax: 086 500 3351

Email: inforeg@justice.gov.za

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

## 7. DISCLAIMER

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

- We believe in the value of sound advice and so recommend that you consult a financial 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. Strategic Investment Service Management Company (RF) (Pty) Ltd has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- 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.

**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.

## 8. DECLARATION

Strategic Investment Service Management (RF) Pty Ltd 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 agree to accept the number of units bought from me by virtue of this application and I warrant that I have full power and authority to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- I am aware that this product offers no cooling-off rights.
- I know that the cost of buying units may include an initial charge plus VAT, depending on the amount invested and whether or not I use an intermediary, and that there are no guarantees on my capital.
- I acknowledge that there are further allowable deductions from the unit trust/s (e.g. an annual service fee) that impact on the value of my investment. I am satisfied that the facts provided are accurate and complete. I am aware of the unit trust's/unit trusts' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s.
- I acknowledge that Strategic Investment Service Management Company (RF) (Pty) Ltd may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- I have read and fully understood all the pages of this application form.
- I warrant that all the information given in this form, and in the additional documentation specifically requested by Strategic Investment Service Management Company (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, whetherin my handwriting or not.
- I undertake to advise Strategic Investment Service Management Company (RF) (Pty) Ltd within 30 days should information contained in this form change.
- I understand that Strategic Investment Service Management Company (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.

Signed at (place) ______________________ on (date) D D M M C C Y Y

Signature of contracting party

Signature of contracting party

Signature of legal guardian/parent (if applicable) of contracting party

Signature of authorised person (on behalf of contracting party)

## 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.