

IMPORTANT INFORMATION

- 1. This form is for investors in Qualified Investor Hedge Funds. If you are an investor in any of Old Mutual’s other unit trusts please use the [Old Mutual Unit Trusts Selling Form](#) available on our public website ([www.omut.co.za](#)).
- 2. Please complete all relevant sections of this application in order to process your sell transaction. The completed form and supporting documentation can be scanned and emailed to QIHedgeFunds@oldmutual.com. Illegible and incomplete forms may lead to delays. Contact +27 (0)21 509 7140 if you have any queries.
- 3. We require all Investor and Tax Residence information for this transaction to be processed. If your Tax Residence information 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 4 on this form.
Entity and Institutional Investors are required to complete the Tax Residency Section 13 and Annexure A of the [Old Mutual Unit Trusts Qualified Investor Hedge Fund Buying Form](#).
- 4. Your transaction will be actioned once we receive the fully completed form and any required supporting documentation.
- 5. 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.

SUPPORTINEG 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), unless we have your current documents on record. Please refer to the [Qualified Investor Hedge Fund Pre-Investment Information Document](#) (Supporting Document Requirements) for further information. The Financial Intelligence Centre Act (FICA) requires that documents have to be provided for every individual listed, including individuals acting on behalf of others. Institutional investors must also supply "Self-certification of Exchange Control Compliance" documentation, if applicable. We cannot process your application without the relevant information.

PROCESSING TIMES:

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

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

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

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

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

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

APPLICATION TO SELL UNITS

I/we hereby apply for Old Mutual Unit Trust Managers to buy units from me as indicated below at the price applicable when all requirements are met. I hereby cede, assign all my rights, title and interest in and to the said units to Old Mutual Unit Trust Managers (RF) (Pty) Ltd. All transactions are subject to the conditions of the relevant Old Mutual Unit Trust Fund Trust Deed(s).

Unit trust number

1. INVESTOR'S DETAILS

If this investment is in your name please complete section 1 (a) If this investment is in the name of a legal entity please complete section 1 (b)

1 (a) INDIVIDUAL IN WHOSE NAME INVESTMENT IS HELD

Title and surname	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Full first names	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Cellphone	Country dialling code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> No. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	(For eg. South Africa +27)
Telephone (Home)	Country dialling code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> No. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	(For eg. South Africa +27)
Telephone (Work)	Country dialling code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> No. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	(For eg. South Africa +27)
E-mail Address	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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

3. BANK DETAILS FOR THE INVESTING ENTITY OR CLIENT

Payments can only be made to Investor's own bank account

Account name

Bank and branch

Branch code and account number

Account type: Current Savings

4. TAX RESIDENCY DETAIL (Please complete only if your data has changed)

Natural Investors may complete the foreign tax residence detail here. Legal Entity Investors please complete the Tax Residency Section 13 and Annexure A of the Old Mutual Unit Trusts Qualified Investor Hedge Fund Buying Form.

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 your/the investing legal entity's tax residency and the related tax reference numbers. If you are/the investing legal entity is resident for tax purposes in a country other than South Africa, certain information will be reported by Old Mutual to the South African Revenue Services who will automatically share this information with the participating countries where required.

Please note that tax residency is a per country definition and it is possible for the entity to be tax resident in multiple countries.

Should any information provided change, please ensure that that we are advised of such change or changes promptly. Should you have any questions about how to complete this form, please contact your tax adviser.

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.

South African OR Foreign

	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 citizen and/or tax resident of the United States of America? If "Yes", please provide the following information						
Are you a resident for tax purposes in any other country? If "Yes", please provide the following information						
Country 1						
Country 2						
Country 3						

TIN reason code table

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

I (Full Name) , ID/Passport number

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

Signature

Date
 D D M M C C Y Y

5. PROTECTION OF PERSONAL INFORMATION

Old Mutual would like to offer you ongoing financial services and may use your personal information to provide you with information about product or services that may be suitable for your financial needs.

Please indicate here if you do not wish to receive this.

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

- 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 renders services to us.

You may access the personal information that we hold and request us to correct any errors or to delete this information. To view our full privacy notice and to exercise preferences, visit our website on www.oldmutual.co.za.

6. DISCLAIMER

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

- We believe in the value of sound advice and so recommend that you consult a financial adviser before buying or selling unit trusts. You may however, buy and sell without the help of a financial adviser. If you do use a financial adviser, we remind you that they are entitled to certain negotiable adviser fees or commissions.
- You should ideally see unit trusts as a medium to long term investment. The fluctuations of particular investment strategies affect how a fund performs. Your fund value may go up or down. Therefore, we cannot guarantee the investment capital or return of your investment. How a fund has performed in the past does not necessarily indicate how it will perform in the future.
- Our cut-off time for client investment instructions (i.e. buying) is at 15:00 five (5) working days in advance of the Transaction Date, unless agreed earlier in terms of your Service Level Agreement. All documentation must be complete and the investment amount must reflect in our bank account by that date. Investment amounts (Purchase of Units) will be held in the Old Mutual Unit Trusts bank account and be invested into the QI Hedge Fund selected on the Transaction Date, the last working day of the calendar month. Transaction requests received after these times will be processed a calendar month later.
- Our cut-off time for client disinvestment instructions (i.e. selling) is at 15:00 on the first working day of the month in advance of the Transaction Date, unless agreed later in terms of your Service Level Agreement. The Transaction Date is the last working day of the calendar month. Transaction requests received after these times will be processed a calendar month later. Disinvestment forms are accessible on www.omut.co.za.
- Funds may borrow for leverage purposes and to pay client disinvestments and may engage in scrip lending. A process of ring-fencing of withdrawal instructions and managed pay-outs over time may be followed should excessive withdrawals from a fund place the fund under liquidity pressures.
- We value our funds monthly at end of day on the last working day of every month to determine ruling price and will make available the ruling price the following working day. Monthly prices are available in the media or on request.
- The monthly ruling price will be calculated in accordance with ASISA’s Pricing Standard and Old Mutual Unit Trusts’ Valuation and Pricing Policy. It is based on the current market value of the fund’s assets plus income minus expenses (NAV of the portfolio) divided by the number of units in issue. The value of assets will be determined by one or a combination of the following valuation strategies: Mark-to-Market, Mark-to-Broker and Mark-to-Model.
- The fund fees and costs that we charge for managing your investment are accessible on the relevant fund’s minimum disclosure document (MDD) or table of fees and charges both available on our public website or from our service centre.
- Additional information on this proposed investment can be obtained, free of charge, from our service team on +27 (0)21 509 7140.
- Old Mutual Unit Trusts has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- A portfolio may change its investment strategy or investment policy (or both) by applying to the Financial Services Board (FSB) for permission to ballot all investors. The investment policy will change with approval of the FSB and a response of at least 25% by value of investors, the majority of whom must be in favour.
- Old Mutual Unit Trust Managers (RF) (Pty) Ltd is a registered manager in terms of the Collective Investment Schemes Control Act 45 of 2002. Old Mutual is a member of the Association for Savings and Investment South Africa (ASISA).

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

7. DECLARATION OF INVESTOR OR AUTHORISED SIGNATORY/IES

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

- I/we agree to accept the number of units bought from me/us by virtue of this application and I/we warrant that I/we have full power and authority to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- I/we am/are aware that this product offers no cooling-off rights.
- I/we know that there are no guarantees on my/our capital.
- I/we acknowledge that there are further allowable deductions from the unit trust (e.g. an annual service fee) that impact on the value of this investment. I am/we are satisfied that the facts provided are accurate and complete.
- I/we acknowledge that these portfolios of Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow for leverage purposes and to bridge insufficient liquidity.
- I/we have read and fully understood all the pages of this application form.
- I/we further authorise Old Mutual to accept instructions from me/us via facsimile (please delete if not applicable).
- I/we confirm that I/we have completed Tax Residency Declaration (Section 13 above).
- I/we have read and am aware of the QI Hedge Fund's/Funds' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s (Minimum Disclosure Document/s).
- I/We warrant that all the information given in this form, and in any additional documentation specifically requested by Old Mutual Unit Trust Managers (RF) (Pty) Ltd, as well as in any documentation which will be or has been supplied and signed by me/us in connection with this form, is true and correct and as per my/our instructions, whether in my/our handwriting or not.
- I/we undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should 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.

Date

D	D	M	M	C	C	Y	Y

Signature of investor or authorised signatory

Date

D	D	M	M	C	C	Y	Y

Authorised signatory

CONTACT DETAILS

Old Mutual Unit Trust Managers (RF) (Pty) Limited

(Registration no. 65/08471/07)
 Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa
 PO Box 207, Cape Town 8000, South Africa
 Telephone no.: +27(0)21 503 1770
 Helpline: 0860 234 234
 Fax no.: +27(0)21 509 7100
 Internet address: www.omut.co.za
 E-mail: unittrusts@oldmutual.com

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

Compliance Department: +27(0)21 503 1770

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

Old Mutual Investment Administrators (Pty) Ltd

(Registration no. 1988/003478/07)
 Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa
 PO Box 5408, Cape Town 8000, South Africa
 Telephone no.: +27(0)21 503 1770
 Fax no.: +27(0)21 509 7100

Compliance Department: +27(0)21 503 1770

Professional indemnity cover and fidelity insurance cover are in place.

Old Mutual Investment Administrators (Pty) Ltd is a third party administration and service provider to Old Mutual Unit Trust Managers (RF) (Pty) Ltd and is a licensed financial services provider.

FUND LIST

FUND NAME	JSE Code / Class		ANNUALISED SERVICE FEE % (included in TER)				TOTAL EXPENSES AS AT 31 MARCH 2017				DISTRIBUTION DATES	RISK
			Flat Fees		Performance Related Fees		Total Expense Ratio* (TER) %		Transaction Cost (TC)	= Total Investment Charge		
			Local Assets	Offshore Assets	Min	Max	TER	Performance Fee Component				
Old Mutual Aristeia Opportunities QI Hedge Fund	OMGA1	A1	0.912%	-	0.91%	Uncapped	0.932%	-	0.10%	1.032%	June, December	Aggressive
	OMGD1	D1	0.342%	-	0.34%	Uncapped	1.762%	-	0.10%	1.862%		
	OMGD3	D3	0.627%	-	0.63%	Uncapped	0.647%	-	0.10%	0.747%		
Old Mutual Chronos QI Hedge Fund	OMCA1	A1	0.912%	-	0.91%	Uncapped	0.932%	-	0.10%	1.032%	June, December	Aggressive
	OMCD1	D1	0.342%	-	0.34%	Uncapped	1.762%	-	0.10%	1.862%		
	OMCD3	D3	0.627%	-	0.63%	Uncapped	0.647%	-	0.10%	0.747%		
Old Mutual Managed Alpha QI Hedge Fund	OMQA1	A1	0.912%	-	0.91%	Uncapped	0.932%	-	0.10%	1.032%	June, December	Aggressive
	OMQD1	D1	0.342%	-	1.34%	Uncapped	2.762%	-	0.10%	2.862%		
	OMQD3	D3	0.627%	-	0.63%	Uncapped	0.647%	-	0.10%	0.747%		
Old Mutual Volatility Arbitrage QI Hedge Fund	OMVA1	A1	0.912%	-	0.91%	Uncapped	0.932%	-	0.10%	1.032%	June, December	Aggressive
	OMVD1	D1	0.342%	-	0.34%	Uncapped	1.762%	-	0.10%	1.862%		
	OMVD3	D3	0.627%	-	0.63%	Uncapped	0.647%	-	0.10%	0.747%		

* Note that for the first year (until March 2018), these are estimated values.