



STEP 1:
BEFORE INVESTING



STEP 2: COMPLETE
THE APPLICATION
FORM



STEP 3:
SUBMIT ALL
REQUIRED
DOCUMENTS



STEP 4:
MAKE PAYMENT



STEP 5:
NEXT STEPS

Read this document and ensure that in choosing Qualified Investor Hedge Funds you are choosing the correct product to meet your requirements. We encourage all investors to source good relevant financial advice.

Refer to the relevant fund fact sheet/s (minimum disclosure documents) to ensure you are selecting the correct fund/s based on mandate, characteristics and objectives;

Complete:

- the Old Mutual Unit Trusts Qualified Investor Hedge Funds Institutional Buy Form including the various regulatory disclosures and
- if applicable, as many Controlling Person Self Certifications as needed.

Understand, agree and sign the Terms & Conditions and Declarations on the application form;

Scan and email to QIHedgeFunds@oldmutual.com

- your completed Old Mutual Unit Trusts Qualified Investor Hedge Funds Institutional Buy Form,
- FICA documentation* for the investing party, and
- Annexure A completed and FICA documentation* for all Controlling Persons

* FICA requirements are set out in the Old Mutual Unit Trusts Qualified Investor Hedge Fund Pre-Investment Information Document.

Once we have all required documentation, Old Mutual Unit Trusts will send you a confirmation letter.

This letter includes your unit trust client account number (needed as your payment reference) and our bank account details.

In order for investments to be finalised within the month of submission, we have to be in possession of your proof of payment two days before the Transaction Date (the last working day of the month).

Your investment instructions will be processed on receipt of:

- your completed instructions,
- supporting documentation and
- proof of payment.

Secure client web site access will be made available to your administrators, upon request.

PLEASE ENSURE YOU HAVE COMPLETED THE FOLLOWING SECTIONS OF THE APPLICATION FORM BEFORE SUBMITTING IT.

**INVESTING AS A
LEGAL ENTITY**

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IMPORTANT INFORMATION

1. Please refer to the **Old Mutual Unit Trusts Qualified Investor Hedge Fund cover sheet (first page of this document)**, which will assist you to complete all the required sections of this application form.
2. This form is for qualified institutional investors who have met the below eligibility requirements for investing into the **Qualified Investor (QI) Hedge Funds**.
3. Please complete all relevant sections of this application in order to process your investment. The correctly 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.
4. Your investment will be processed once we have received the completed form and supporting documentation (refer to the **Qualified Investor Hedge Fund Pre-Investment Information Document**) and your money reflects in the correct bank account.

SUPPORTING DOCUMENTATION REQUIREMENTS

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. 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.

QI HEDGE FUND INVESTOR ELIGIBILITY

The requirements for investors in QI Hedge Funds are the following:

- The investing entity must be investing a minimum of R1 million per hedge fund invested into; **AND**
- The investing entity must demonstrate that they have the relevant experience to enable them to assess the merits and risks involved in hedge fund investments and complete the disclosure below.

We acknowledge that we have opted to invest into a QI Hedge Fund without utilising the services of an adviser to obtain information on the suitability of investing into QI Hedge Funds as that is our preference. We are solely responsible for our investment choice/s and their associated outcome/s. We confirm that we have the knowledge and experience in financial and business matters which would enable us to assess the risks and merits of a hedge fund investment and we have read and understood the contents of the Qualified Investor Hedge Fund Pre-Investment Information Document available from Old Mutual Unit Trusts.

Signature of investor or authorised signatory

Date

D	D	M	M	Y	Y	Y	Y

Authorised signatory

Date

D	D	M	M	Y	Y	Y	Y

APPLICATION TO BUY UNITS

I/We hereby apply to Old Mutual Unit Trusts Managers (RF) (Pty) Ltd (Old Mutual Unit Trusts) for the number of units that can be purchased by the investment amount referred to below. All transactions are subject to the conditions of the relevant Old Mutual Unit Trust Fund Trust Deed(s).

Do you already have an Old Mutual Unit Trusts investment? No Yes

If Yes, please provide your unit trust contract number



1. ENTITY DETAIL

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

Entity Name

Entity Trade Name (if different from the legal entity name)

Country of Organisation or Incorporation

Entity Registration Number Entity Registration Date **D D M M C C Y Y**

Entity Tax Number Entity VAT Number

Entity registered address

Postal code

Country of address

Entity trade address

Postal code

Country of address

Telephone business

(For eg. South Africa +27)

Entity e-mail address

(Old Mutual's preferred method of communication is email)

NATURE OF ENTITY

Please tick the box that applies.

Please note: *Foreign designation applies if the entity is registered or organised outside South Africa.

	Listed company	Unlisted company	Collective Investment Scheme
South African	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Retirement Fund (pension, provident, preservation pension, preservation provident and Retirement Annuity)	Other Funds (Medical Aid Fund, Benefit Fund)
South African	<input type="checkbox"/>	<input type="checkbox"/>
Foreign*	<input type="checkbox"/>	<input type="checkbox"/>

If other, please specify



1. ENTITY DETAIL CONTINUED

DETAILS OF ENTITY OR BRANCH OF FOREIGN ENTITY IN SOUTH AFRICA (mandatory)

Please note: A copy of the certificate/memorandum of incorporation or trust deed must accompany this form.

Trade name

Registered name

Entity registration no.

Registration date **D D M M C C Y Y**

Country of organisation or incorporation

Stock Exchange Listing information for Listed Companies

Primary Listing

Secondary Listing

For The Administrator

Name of Administration Company

Title, initials and surname

Authorised person @ Administrator

Cellphone
 (For eg. South Africa +27)

Telephone (Home)
 (For eg. South Africa +27)

E-mail Address
 Preferably a group e-mail address

2. CONTACT DETAILS OF PERSON REPRESENTING THE LEGAL ENTITY

Appointed by Entity as authorised person (documentation is required e.g. a resolution)

Title and surname

Full first names

Gender: Male Female Marital status: Married Single

Occupation:

Proof of Identity:

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

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

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

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

Are you registered for Tax purposes in South Africa? Yes South African Income tax number



2. CONTACT DETAILS OF PERSON REPRESENTING THE LEGAL ENTITY CONTINUED

Cellphone

(For eg. South Africa +27)

Telephone (Home)

(For eg. South Africa +27)

Telephone (Work)

(For eg. South Africa +27)

E-mail Address

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 for your post to be directed to the care of this person

Address

Postal code

Country of address

Postal address, if different from residential address

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

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

Address

Postal code

Country of address



3. HOW TO INVEST

How to obtain your Client Account Number

- Email your completed application form and supporting documents to QIHedgeFunds@oldmutual.com.
- Once we have received all your documentation and the verification process is complete, we will email your confirmation letter reflecting our bank account details and your unit trust client account number. Please use your client account number in your reference when making an Electronic Funds Transfer (EFT).
- Our cut-off time for 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.

Please Email proof of payment of the investment amount to QIHedgeFunds@oldmutual.com

For any further assistance in finalising your investment you may contact the Corporates Team on +27 (0)21 509 7140.

Select your QI Hedge Funds (refer to page 20)

UNIT TRUST FUND NAME	CLASS	JSE CODE	VALUE (R)
Old Mutual Aristeia Opportunities QI Hedge Fund			
Old Mutual Chronos QI Hedge Fund			
Old Mutual Managed Alpha QI Hedge Fund			
Old Mutual Volatility Arbitrage QI Hedge Fund			
TOTAL			R

Note: Distributions will be automatically reinvested. Please tick this box if you would prefer to receive them paid to your bank account:

4. INCOME VERIFICATION

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

Entity's source of income

Is the entity a dealer in high value goods? Yes No

Is the entity High cash generating? Yes No

Does the entity operate as an import/export business? Yes No

Source of funds for this transaction:

Company/Entity profits Investments Donations Contributions Loan
 Capital savings Other

Industry/Nature of Business

Type of assets Retail Institutional

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



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.

6. BANK DETAILS FOR THE INVESTING ENTITY

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

Account name																														
Bank and branch																														
Branch code and account number																														
Account type:	Current	<input type="checkbox"/>	Savings	<input type="checkbox"/>																										



7. ASSISTANCE WITH APPLICATION FORM COMPLETION

Please provide detail of the Old Mutual Employee or Old Mutual Business unit who this form was submitted through (if applicable).

Title, initials and surname

Tel. Cellphone

Business unit

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. 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.

- 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 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 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.oldmutualinvest.com.
- 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 Trust Managers (RF) (Pty) Ltd has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- A portfolio may change its investment strategy or investment policy (or both) by applying to the Financial Services Conduct Authority (FSCA) for permission to ballot all investors. The investment policy will change with approval of the FSCA 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.

10. ENTITY TAX DECLARATION (MANDATORY)

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

- (a) The Foreign Account Tax Compliance Act which ultimately seeks to prevent United States (US) taxpayers from avoiding US tax by facilitating the declaration of all income received outside the US.
- (b) Regulations issued to implement The Common Reporting Standards issued by the Organisation for Economic Co-operation and Development for the automatic exchange of certain financial information, on an annual basis, across various participating jurisdictions.

We, as a responsible financial institution, are obliged to comply with this legislation and the information encapsulated in this form enables us to do so.

IMPORTANT NOTES

This section must be completed by the authorised person – investing on behalf of an entity, an entity being a legal person or a legal arrangement such as a trust or partnership. Please note that certain information provided in the main application form is considered part and parcel of this form but is not repeated here.

This section consists of the following:

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

Should any information you provide change at a later stage, please ensure that we are advised of such change(s) promptly. Should you have any questions about how to complete this form, please contact your tax adviser.



10. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

Please refer to Annexure B (Explanatory memorandum) for summaries of some of the terms used in the body of this document.

1. NATURE OF ENTITY (MANDATORY)

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

Nature of Entity	South African	*Foreign
Close corporation		
Companies		
· Listed company		
· Public unlisted company		
· Private company		
Funds		
· Retirement fund (in RSA, this would be a pension, provident, preservation pension, preservation provident & retirement annuity)		
· Other funds (medical aid fund, rehabilitation fund, collective investment scheme)		
Government/Provincial Administration/Municipality or any legal entity 100% owned by any of the three mentioned entity types or a combination of the three mentioned entity types		
Other entity types (club, association, informal body, burial society, church, school, stokvel)		
Partnership		
Trust		

If your entity classification is **other entity funds** or not listed above, please specify below:

Is the entity a charitable organisation? Yes No

2. ENTITY CLASSIFICATION FOR FATCA AND OECD CRS (MANDATORY)

The entity will either be classified as a Non-Financial Entity or a Financial Institution. Please refer to Annexure B for the definitions of these classifications.

Depending on the classification selected, **please proceed to complete either 2.1 (Non-Financial entity) or 2.2 (Financial Institution) below.**

2.1 NON-FINANCIAL ENTITY

Please complete section 2.1.1 and 2.1.2, and **if the entity is an Active NFFE/NFE section 2.1.3.**

For purposes of this section note that the most common form of an Active NFFE/NFE is an entity where less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the entity during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income. Other Active NFFE's/NFE's are detailed in Annexure 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.



10. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

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.

2.1.3 ACTIVE NFFE/NFE (ADDITIONAL INFORMATION)

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

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

 which is an established securities market; or

b) The Account Holder is a related Entity of

 a corporation, the stock of which is regularly traded on

 which is an established securities market; or

c) Note that an "Active NFFE" means any NFFE that meets any of the criteria described in annexure 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:

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



10. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

If the entity cannot provide a Global Intermediary identification number, please indicate the reason below:

- The entity has not yet obtained a GIIN but is required to and has applied. **Advise us of the GIIN as soon as it has been issued.**
- The entity has not obtained a GIIN but will be applying for one. **Advise us of the GIIN as soon as it has been issued.**
- The entity is a Non-Participating Foreign Financial Institution (IGANPFFI).

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

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

Where the entity is a **Sponsored Investment Entity, Controlled Foreign Corporation, Sponsored Closely Held Investment Vehicle or a Trustee Documented Trust**, please provide the following details.

Name of sponsor
 X X X X X X . X X X X X . X X . X X X

Sponsor GIIN number
 X X X X X X . X X X X X . X X . X X X

Own GIIN number

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



10. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

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

2.2.2 FINANCIAL INSTITUTION|CRS (MANDATORY)

Please select (✓) the applicable classification:

- The entity is an Investment Entity located in a jurisdiction that is not participating in CRS managed by a Financial Institution. If you have selected this classification, please also complete Section 7 (Group Structure) if applicable, and a Self-Certification Form for each controlling person as defined in Annexure A.
- The entity is a Financial Institution under CRS unless above classification applies (this includes Reporting and Non-Reporting Financial Institutions such as a pension scheme, government entities and international organisations.)

3. ENTITY TAX RESIDENCY DETAILS (MANDATORY)

As a financial institution we are obliged to comply with international agreements signed by our government aimed at combatting tax evasion. In terms of these agreements, we are required to collect information regarding where you are resident for tax purposes including the related tax reference numbers. If the entity is a resident for tax purposes in a country other than South Africa, certain aspects of your information will be shared with the South African Revenue Services, who will automatically share this information with the participating countries where required. Please note that tax residency is per country – it is thus possible for an entity to be tax resident in multiple countries.

Please answer the questions that follow and complete your tax reference number(s) in the table below, selecting a YES/NO for each question below. (At a minimum answering whether you are resident for tax purposes in South Africa, the United States of America and in another country.)

NB: The income tax reference number is mandatory where the (*) is indicated.

Country resident in for tax purposes	Yes	No	Please specify country resident in for tax purposes	Income tax reference number (*mandatory)
Are you a resident for tax purposes in South Africa ?			South Africa	
Are you a citizen and/or resident for tax purposes in the United States of America ?			United States of America	*
Specify other countries:				
Are you a resident for tax purposes in another country ?				*
Are you a resident for tax purposes in another country ?				*
Are you a resident for tax purposes in another country ?				*

*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.)



10. ENTITY TAX DECLARATION (MANDATORY) CONTINUED

4. DECLARATIONS AND UNDERTAKINGS

- I acknowledge that the making of a false statement:
 - may lead to an administrative penalty or criminal sanction; and
 - will, to the extent that the laws of the United States of America apply, constitute perjury and lead to penalties.
- I declare that I have examined the information on this form, and given on the main application form which I understand forms part of this self-certification, and to the best of my knowledge and belief it is true and correct.
- I undertake to advise Old Mutual within 30 days, where information contained in this form changes, and to provide updated or additional Controlling Person Self-certification forms should controlling parties changes or details of current controlling parties change.
- I understand that Old Mutual may be legally obliged to disclose information in this form to the South African Revenue Services and other legal authorities

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

Signed at (place)

on (date)

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

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

Signature of controlling person

11. DECLARATION OF INVESTOR OR AUTHORISED SIGNATORY/IES

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

- We agree to accept the number of units sold to us by virtue of this application and we warrant that we have full power and authority to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- We are aware that this product offers no cooling-off rights.
- We know that the cost of buying units may include an initial charge plus VAT, depending on the amount invested and whether or not we use an adviser, and that there are no guarantees on our capital.
- 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. We are satisfied that the facts provided are accurate and complete.
- We acknowledge that these portfolios of Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow for leverage purposes and to bridge insufficient liquidity.
- We have read and fully understood all the pages of this application form.
- If applicable we hereby authorise Old Mutual Unit Trust Managers (RF) (Pty) Ltd to debit the account mentioned above with the lump sum specified.
- We further authorise Old Mutual to accept instructions from us via facsimile (please delete if not applicable).
- We confirm that we have completed the Tax Residency Declaration.
- We have read and are 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).
- 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 us in connection with this form, is true and correct and as per our instructions, whether in our handwriting or not.
- We undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should information contained in this form change.
- 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.

Signature of investor or authorised signatory

Date

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

Authorised signatory

Date

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



CONTACT DETAILS

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

Registration no.: 1965/08471/07

VAT no.: 4230116479

Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa

PO Box 207, Cape Town 8000, South Africa

Telephone no.: +27(0)21 503 1770

Helpline: 0860 234 234

Internet address: www.oldmutualinvest.com

Email: unittrusts@oldmutual.com

Complaints may be directed to the Client Relationship Manager at the above address. Our complaints process is available via our website www.oldmutualinvest.com or by contacting 0860 234 234.

Compliance Department: +27(0)21 503 1770

Visit www.oldmutualinvest.com for unit trust information, prices and news.

Old Mutual Investment Administrators (Pty) Ltd

Registration no.: 1988/003478/07

Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa

PO Box 5408, Cape Town 8000, South Africa

Telephone no.: +27(0)21 503 1770

Compliance Department: +27(0)21 503 1770

Professional indemnity cover and fidelity insurance cover are in place.

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



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION

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

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

Please note that if you are conducting business with Old Mutual in more than one legal capacity, we need this form to be completed for each such legal entity.

A controlling person is an individual who has control over an entity.

Controlling persons include:

- **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 persons 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” is defined either as a beneficial interest, ownership interest, or voting rights held directly or indirectly or a combination of both.

This form is to be completed by individuals that are controlling persons, by them or their authorised representative, or the authorised representative of the contracting party.

NATURE OF CONTROLLING RELATIONSHIP

Please select the appropriate box

Trustee
 Settlor
 Protector
 Beneficiary
 Partner
 Shareholder
 Member of closed corporation
 Any person exercising executive control of the Trust/Partnership or Senior Managing Official (Company)

Holding interest – Close Corporation/Shareholder %

PERSONAL DETAILS (MANDATORY)

Please note all fields must be completed:

Title Mr Ms Mrs Other Initials

Surname

First names

Date of birth Gender: Male Female

Country of birth

Nationality

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



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

Please note that the following contact information is mandatory:

- Residential and postal address.
- Home or cellphone and business telephone number.

Telephone Business
 (For eg. South Africa +27)

Telephone Home
 (For eg. South Africa +27)

Cellphone
 (For eg. South Africa +27)

E-mail Address
 (Old Mutual's preferred method of communication is email)

Residential address
 Postal code

Country of address

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

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

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

Postal address (if different from above address)
 Postal code

Country of address

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

	Yes	No	Country of tax residence	Income tax reference number (TIN) (* mandatory - If you do not have an Income Tax reference number please select reason code (A/B/C) in table below)	Foreign ID/passport of country	ID type
Are you a resident for Tax purposes in South Africa?						
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						



ANNEXURE A – CONTROLLING PERSON SELF CERTIFICATION CONTINUED

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)		

CONTROLLING PERSON DECLARATION

- I have read and understood the contents of this declaration.
- I warrant that all the information provided by me is to the best of my knowledge and belief accurate, and that the statements made by me are true and complete.
- I undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Limited within 30 days, and provide an updated Controlling Person self-certification form, where any information contained in this declaration becomes outdated or changes.
- I understand Old Mutual Unit Trust Managers (RF) (Pty) Limited may be legally obliged to disclose information contained in this form to the South African Revenue Services.

Signed at this day of year

Authorised Signature 1

Authorised Signature 2 (if applicable)

Name of authorised signatory

Name of authorised signatory

Who warrants that he/she/they are authorised to sign on behalf of the named entity.

Capacity

Capacity



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.

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)	A Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.
Custodial Institution (CRS and FATCA)	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: <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.
Depository Institution (CRS and FATCA)	Entities that accept deposits in their normal course of business, such as banks.
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.
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: <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 funds or money on behalf of other persons.
Investment Entity (CRS)	Any Entity: <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.
South African Financial Institution	<ol style="list-style-type: none"> any Financial Institution resident in South Africa, but excluding any branch of such Financial Institution that is located outside South Africa, and any branch of a Financial Institution not resident in South Africa, if such branch is located in South Africa.
Reporting South African Financial Institution	A South African Financial Institution that is required to register on the IRS Portal and report in terms of the IGA.
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.
Non-Financial Entity (NFE) (CRS)	Any Entity that is not a Financial Institution.



ANNEXURE B – EXPLANATORY MEMORANDUM CONTINUED

Passive NFFE (FATCA)	Any NFFE that is not: (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.
Passive NFE (CRS) for the purposes of this form	Any NFE that is not an Active NFE.
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 bolded.</p> <p>a) 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;</p> <p>b) 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;</p> <p>c) 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;</p> <p>d) 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;</p> <p>e) 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;</p> <p>f) 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;</p> <p>g) 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;</p> <p>h) 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;</p> <p>i) The NFFE is an “excepted NFFE” as described in relevant U.S. Treasury Regulations; or</p> <p>j) The NFFE/NFE meets all of the following requirements:</p> <ol style="list-style-type: none"> i. 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; ii. It is exempt from income tax in its jurisdiction of residence; iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; iv. 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 v. 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.
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.



ANNEXURE B – EXPLANATORY MEMORANDUM CONTINUED

<p>South African Governmental Entity</p>	<p>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”).</p> <p>This category is comprised of the integral parts, controlled entities, and political subdivisions of South Africa.</p> <ol style="list-style-type: none"> 1. 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. 2. A controlled entity means an Entity that is separate in form from South Africa or that otherwise constitutes a separate juridical entity, provided that: <ol style="list-style-type: none"> a) The Entity is wholly owned and controlled by one or more South African Governmental Entities directly or through one or more controlled entities; b) 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 c) The Entity’s assets vest in one or more South African Governmental Entities upon dissolution. 3. Income does not inure to the benefit of private persons if such persons are the intended beneficiaries of a governmental program, and the program 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.
<p>International Organisation</p>	<p>Any international organisation or wholly owned agency or instrumentality thereof. This category includes any intergovernmental organisation (including a supranational organisation) (1) that is comprised primarily of non-U.S. governments (FATCA)/that is comprised primarily of governments (CRS); (2) that has in effect a headquarters agreement with South Africa or a non-US government (FATCA)/with the jurisdiction (CRS); and (3) the income of which does not inure to the benefit of private persons.</p>
<p>U.S. Person</p>	<p>A partnership or corporation organised in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.” This definition shall be interpreted in accordance with the U.S. Internal Revenue Code.</p>
<p>Specified U.S. Person</p>	<p>a U.S. Person, other than:</p> <ol style="list-style-type: none"> i. a corporation whose stock is regularly traded on one or more established securities markets; ii. “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; iii. the United States or any wholly owned agency or instrumentality thereof; iv. 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; v. 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; vi. any bank as defined in section 581 of the U.S. Internal Revenue Code; vii. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; viii. 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); ix. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; x. 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; xi. 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; xii. a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or xiii. 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.
<p>Trustee documented Trust</p>	<p>A Trust established under the laws of South Africa” where:</p> <ul style="list-style-type: none"> • the Trustee is a Reporting US Financial Institution, Participating Financial Institution or Reporting Financial Institution in a Model I IGA country, and • the trustee “reports all information required to be reported for FATCA purposes in relation to all US Reportable Accounts of the Trust”



FUND LIST

FUND NAME	JSE Code	Class	ANNUALISED SERVICE FEE % (included in TER)				TOTAL EXPENSES AS AT 31 DECEMBER 2021				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	OMGD3	D3	0.627%	-	0.63%	Uncapped	1.54%	0.41%	0.12%	1.66%	June, December	Aggressive
Old Mutual Chronos QI Hedge Fund	OMCD3	D3	0.627%	-	0.63%	Uncapped	1.33%	-	0.15%	1.48%	June, December	Aggressive
Old Mutual Managed Alpha QI Hedge Fund	OMQD3	D2	0.627%	-	0.63%	Uncapped	1.33%	-	0.22%	1.55%	June, December	Aggressive
Old Mutual Volatility Arbitrage QI Hedge Fund	OMVD1	D1	0.342%	-	0.34%	Uncapped	2.09%	1.66%	0.35%	2.44%	June, December	Aggressive
	OMVD3	D3	0.627%	-	0.63%	Uncapped	2.01%	0.89%	0.35%	2.36%		