Transfer of Ownership

Unit Trust

Corporate and Institutional

NEDGROUP INVESTMENTS

1. What you need to know

1. Before completing this form, please read the latest relevant Investment Agreement, Prospectus, Portfolio Characteristics document and Minimum Disclosure Document, which can be obtained from your Client Relationship team. To understand the charges that may be incurred when investing, please use the Effective Annual Cost calculator.
2. Please email the completed and signed form together with the necessary addendum and relevant supporting documentation to NedgroupInvestmentsInstitutional@silica.net and copy your Client Relationship team.
3. We will process your instruction once:
   - We have received, reviewed and accepted your completed and signed form
   - We have performed all checks, verifications and assessments required in terms of regulation

   Your investment account may take up to 48 hours to create.
4. Information filled in outside of the relevant fields will not be considered when processing your instruction.
5. If you have any questions, please contact your Client Relationship team.

Please indicate your client segment:

☐ Institutional ☐ LISP or Multi-manager ☐ Cash Solutions

Please note:

- This form must be signed by both the transferor and transferee
- This transaction may attract Capital Gains Tax (CGT)

2. Investor who is transferring their investment (transferor)

2.1. Transferor details

Investor name

Investor number

2.2. Details of person submitting this instruction

Title and surname

First names

Cell phone number + (0)

Email address

Alternative contact number + (0)

Date of submission D D M M Y Y Y Y

2.3. Transfer details

Is this transfer as a result of a section 14 transfer? ☐ Yes ☐ No

If **'Yes'**, please submit a copy of the FSB approval.

Is this a transfer of 100% of all unit trust portfolios under this investor number? ☐ Yes ☐ No

If **'No'**, please complete the below table:

Unit Trust portfolio	Account number	Please select only one of: Percentage	Unit Amount	Rand amount
		%		R
	Total	%		R

If transferring the total value from a money market fund, please indicate how the accrued income should be administered:

☐ Be transferred to the new owner

☐ Be paid out into the current investor's bank account

2.4. Transferor declaration

I/We, the undersigned transferor, confirm that:

- I/We are authorised to act on behalf of the investor and instruct Nedgroup Investments to transfer my/our rights, title and interest in the relevant Unit Trust portfolios to the transferee
- I/We have considered whether this transfer is appropriate for my/our needs and circumstances and understand that I/we are responsible for the investment decision
- I/We acknowledge that I/we are not relying on any communication from Nedgroup Investments, whether written, oral or implied, as investment advice or a recommendation to make this transfer
- I/We confirm that the interests being transferred have not been ceded, pledged or otherwise encumbered, nor have I/we entered into any agreement restricting or prohibiting this transfer
- I/We have read and understood the contents, including the terms and conditions, of this form
- All information, instructions and documents provided by us in relation to this instruction, whether completed in our handwriting or otherwise, are true, accurate and complete. Nedgroup Investments may only accept instructions from our appointed financial planning business or another authorised third party where we have authorised such appointment in writing
- I/We understand and agree that this transaction is governed by the latest applicable Investment Agreement
- The information previously provided to Nedgroup Investments relating to the legal entity, its authorised persons, ownership and control structure remains true, accurate and complete, except to the extent that any changes have been notified to Nedgroup Investments

Transferor / Authorised signatory 1		Date	D D M M Y Y Y Y
Name		Capacity	
Transferor / Authorised signatory 2 (if applicable)		Date	D D M M Y Y Y Y
Name		Capacity	

3. To be completed by the investor receiving the transfer / transferee details

Please note:

- This form must be signed by both the transferor and transferee
- If you are a new investor, this form will only be accepted when submitted with a completed and signed '**Client Details – New to Nedgroup Investments**' form relevant to your segment

3.1. Transferee details

New investor

New investor name

Registration number

Existing investor

If you want this transfer to be added to your existing investment please provide your investor number.

Existing investor name

Existing investor number

3.3 Unit trust portfolio selection

Please note:

- The unit trusts transferred must be invested in the same portfolio and class as held by the transferor. The unit trust transferred will be invested into a new account number if none is provided and income distribution will be reinvested
- To ensure that the Transfer out and Transfer in transactions align, no initial financial planning fees may be taken as part of this transaction
- If the unit trusts are in a class that pays a financial planner an annual fee recovered via the sale of units, the fee will be set to zero
- Should you wish to perform any of the following transaction once the investment has been transferred, please submit the relevant form which can be obtained from your Client Relationship team:
  - Switch
  - Income distribution method change
  - Financial planner fee change

Unit Trust portfolio	Account number

3.4. Transferee declaration

I/We, the undersigned transferee, confirm and certify that:

- I/We are authorised to act on behalf of the investor
- I/We have considered whether this transfer is appropriate for my/our needs and circumstances and accept responsibility for the investment decision
- I/We authorise Nedgroup Investments to act on this instruction and any related documents or instructions submitted electronically or otherwise
- I/We have read and understood the contents, including the terms and conditions, of this form
- I/We understand and agree that this investment is governed by the latest applicable Investment Agreement and confirm that I/we have read and understood the relevant Prospectus, Portfolio Characteristics Document and Minimum Disclosure Document relating to the selected Unit Trust portfolios
- I/We understand the fees, charges and costs applicable to this investment, including the Effective Annual Cost (EAC)
- I/We acknowledge that I/we did not receive investment advice or a recommendation from Nedgroup Investments in relation to this instruction
- All information, instructions and documents provided by us in relation to this instruction, whether completed in our handwriting or otherwise, are true, accurate and complete. Nedgroup Investments may only accept instructions from our appointed financial planning business or another authorised third party where we have authorised such appointment in writing
- The information previously provided to Nedgroup Investments relating to the legal entity, its authorised persons, ownership and control structure remains true, accurate and complete, except to the extent that any changes have been notified to Nedgroup Investments
- I/We acknowledge that information relating to this investment may be disclosed where required by law

Transferee / Authorised signatory 1		Date	D D M M Y Y Y Y
Name		Capacity	
Transferee / Authorised signatory 2 (if applicable)		Date	D D M M Y Y Y Y
Name		Capacity	

Nedgroup Investments
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Nedgroup Investments Proprietary Limited (Company registration number 1996/017075/07)
Incorporating Nedgroup Collective Investments (RF) Proprietary Limited (Company registration number 1997/001569/07)
Nedgroup Investment Advisors Proprietary Limited (Company registration number 1998/017581/07) an authorised Financial Services Provider (FSP licence number 1652)

Directors: NA Andrew, RC Williams

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