

Client Compliance Certification

Existing Investor

Individual



1. What you need to know

1. In order to comply with regulation, you are required to confirm your details periodically even if no changes have occurred. All fields are mandatory. Before completing this form, please read the latest relevant Investment Agreement, which can be accessed from our website: www.nedgroupinvestments.com, your financial planner or our Client Services Centre.
2. Please email your completed and signed instruction to instructions@nedgroupinvestments.co.za. 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
3. The daily cut-off for receipt of instructions is 14:00 on any business day.
4. Information filled in outside of the relevant fields will not be considered when processing your instruction.
5. If you have any questions about this form, please contact your financial planner or our Client Services Centre on 0800 123 263 (from within SA) or on +27 21 412 2003 (from outside SA).

Please note:

- All fields must be completed to process your instruction
- Persons who have been appointed to act on behalf of the investor may complete this form on their behalf

2. Investor details

Investor number

Investor type

☐ South African individual	☐ Deceased estate	☐ Foreign individual
☐ Asylum seeker	☐ Sole proprietor	☐ Refugee

Ethnic group

This information is required by our regulator for demographic reporting purposes.

☐ Black / African	☐ Coloured	☐ Indian / Asian	☐ White
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Personal details

Title and surname	
First names	
Preferred name	
SA ID number	
Passport number (if foreign national)	
Passport expiry date	
Country of birth *	
Country of residence	
Date of birth	
Passport country	
Place of birth (city or town)	
Nationality / citizenship	

* If you were born in the US, including a US territory, or you were a US citizen or US national and you have renounced your US citizenship, you will be required to submit an IRS W-8 BEN form which can be found on www.irs.gov.

Do you have more than one nationality / citizenship? ☐ Yes ☐ No

If 'Yes', please provide all your additional nationalities / citizenships

Nationality / citizenship

Nationality / citizenship

Nationality / citizenship

Nationality / citizenship

Contact details

Cell phone number (mandatory) + (0)

Email address (mandatory)

Alternative contact number + (0)

Residential address

Code

Country

South Africa

If other

- Please note:**
- If you have a US physical or postal address, please submit an IRS W-8-BEN form
 - Forms can be found on www.irs.gov – the website of the Internal Revenue Service for the United States

3. Income verification and FICA

This information is an anti-money laundering requirement prescribed by the Financial Intelligence Centre Act, 38 of 2001 (FICA). Supporting documentation may be requested.

How are you funding your investment contributions?

☐ Salary / Commission / Bonus / Resignation benefit

☐ Business earnings

☐ Court order / Maintenance / Divorce settlement/ Road accident fund

☐ Inheritance / Donations / Winnings / Gifts / Family

☐ Investments / Savings / Rental income / Insurance

☐ Loyalty programme

☐ Pension / Annuity / Retirement savings

☐ Sale of assets

☐ Self-employed

☐ Transfer from another investment

What is your source of wealth?

☐ Salary / Commission

☐ Business earnings

☐ Self-employed

☐ Pension / Annuity

☐ Court order / Maintenance

☐ Inheritance / Donation / Trust / Family-funded

What is your occupation?

☐ Academic / Educator / Skills developer	☐ Minor / Student / Scholar
☐ Administrator / Assistant / Client services consultant	☐ Professional
☐ Artist / Performer / Media / Hospitality personnel	☐ Religious leader
☐ Care giver / Domestic worker / Cleaning services personnel	☐ Retiree / Pensioner
☐ Casual worker / Contract worker	☐ Safety / Security personnel
☐ Crafter / Trader / Artisan	☐ Sales / Marketing professional
☐ Executive / Director	☐ Self-employed / Business owner
☐ Farmer / Agriculturist / Conservationist	☐ Sports professional
☐ Government employee / Judge	☐ Technician / Scientist / IT professional / Researcher
☐ Health professional / Community worker	☐ Unemployed / Home executive / Medically boarded
☐ Manager	

What industry do you work in?

☐ Accommodation / Hospitality services	☐ Manufacturing
☐ Administrative / Support services	☐ Mining – General
☐ Agriculture /Forestry / Fishing	☐ Mining – Precious and Semi-precious metals/stones
☐ Arts / Entertainment / Recreation	☐ Non-profit / Religious
☐ Banking	☐ Other non-bank financial institutions
☐ Construction	☐ Professional / Scientific / Technical services
☐ Craft / Trade / Artisanal	☐ Public sector financial corporations
☐ Defence / Social security	☐ Real estate
☐ Financial / Investment / Insurance activities	☐ Sports
☐ Gambling	☐ Transportation / Storage
☐ Government / Municipal services / SOE	☐ Unemployed
☐ Human health / Social work / Education	☐ Wholesale / Retail trade
☐ Information / Technology / Communication	

Employment type

☐ Permanent salaried employee	☐ Part-time	☐ Contractor
☐ Self employed	☐ Diplomatic care	☐ Student
☐ Not employed		

Intended purpose of investment

Nature of relationship with Nedgroup Investments

Please complete only for the product(s) you are invested in and for which you are applying for in this application if applicable.

Unit trust

☐ Invest for 0 – 3 years	☐ Invest a single amount with frequent withdrawals
☐ Invest for 3 – 5 years	☐ Invest multiple amounts with frequent withdrawals
☐ Invest for over 5 years	☐ Invest a single amount with occasional withdrawals
	☐ Invest multiple amounts with occasional withdrawals

Tax-Free investment

☐ Invest for 0 – 3 years	☐ Invest a single amount with frequent withdrawals
☐ Invest for 3 – 5 years	☐ Invest multiple amounts with frequent withdrawals
☐ Invest for over 5 years	☐ Invest a single amount with occasional withdrawals
	☐ Invest multiple amounts with occasional withdrawals

Endowment

☐ Invest for over 5 years	☐ Invest a single amount with frequent withdrawals
	☐ Invest multiple amounts with frequent withdrawals
	☐ Invest a single amount with occasional withdrawals
	☐ Invest multiple amounts with occasional withdrawals

Retirement Fund

☐ Invest for retirement	☐ Invest a single amount
	☐ Invest multiple amounts

Preservation Fund

☐ Invest for retirement	☐ Invest a single amount
	☐ Invest multiple amounts

Living Annuity / Living Annuity Plus

☐ Invest for over 5 years	☐ Invest a single amount with frequent withdrawals
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4. Tax information

Please note:

- It is **mandatory** to classify yourself in this section, please consult your professional tax advisor with respect to your tax residency and any related guidance on the Tax Administration Act 28 of 2011 (adopting aspects of the U.S.A Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Information).
- In certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with SARS who may in turn share this information with other relevant tax authorities
- If any of the information below changes in the future, please advise us of these changes promptly

Are you a **United States (US) citizen**, a **US person** or a **US national**?

☐

Yes

☐

No

Please note:

- If **'Yes'**, please submit an IRS W-9 form with this instruction
- Forms can be found on www.irs.gov – the website of the Internal Revenue Service for the United States

Do you have tax obligations, tax liabilities or tax residencies outside of South Africa?

☐

Yes

☐

No

Please declare all your tax obligations, liabilities or residencies in the table below

Country of tax residency	Tax identification number (TIN)	TIN not applicable reason		
		A	B	C

Please note:

If you are unable to provide a TIN number, please indicate the relevant reason:

- Reason A: Your country does not issue TIN's to its tax residents. (This does not apply to US tax residents.)
- Reason B: Your tax authority does not need you to provide a TIN. (This does not apply to US tax residents.)
- Reason C: You have not or did not register for a TIN with your tax authority.

Withholding tax declaration

Only applicable to Unit Trust investment

☐ I declare that I am a South African resident for tax purposes and therefore will be subject to the default Dividend Withholding Tax (DWT) rate of 20% on local dividends and Interest withholding Tax (IT) will not apply. I further declare that I understand that any income earned from interest bearing instruments and Real Estate Investment Trusts (REIT) constitute income that needs to be filed in my annual tax return as Nedgroup Investments will not withhold tax on my behalf.

☐ I declare that I am not a South African resident for tax purposes and therefore will be subject to the default DWT rate of 20% on local dividends and the default IT rate of 15% on local interest.

☐ I declare that I am not a South African resident for tax purposes but there is a double taxation agreement (DTA) in place between South Africa and my country of tax residence. Please specify the country with which the double taxation agreement exists.

Country

5. Investor declaration

I confirm that:

- The information provided by me, or on my behalf, is complete, accurate and true
- I am authorised to open and administer this investment and, where I am acting on behalf of another person, I am duly authorised to do so
- I have considered whether this investment is appropriate for my needs and circumstances and understand that I am responsible for my investment decisions
- I understand and agree that this application will be governed by the relevant and latest Investment Agreement and have read and understand the relevant Prospectus, Portfolio Characteristics Document, and the Minimum Disclosure Document that relate to the Unit Trust portfolios that I am investing in
- I understand the fees, charges and costs applicable to my investment, including the Effective Annual Cost (EAC)
- I authorise Nedgroup Investments to act on this application and on any documents and instructions submitted in connection with it, whether submitted electronically or otherwise
- I understand that Nedgroup Investments may rely on the information and instructions provided by me or by a person authorised to act on my behalf
- I acknowledge that information relating to my investment may be disclosed to regulators, tax authorities or other parties where required by law
- I understand and agree that the above declarations apply to all subsequent applications and forms that I submit to Nedgroup Investments

Investor / Authorised
signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Capacity

Nedgroup Investments

Nedbank Clocktower Clocktower Precinct V&A Waterfront Cape Town 8001 PO Box 1510 Cape Town 8000 South Africa

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

www.nedgroupinvestments.com