

# Change of details

## Related parties

### Corporate and Institutional



This form will only be accepted when submitted with a completed and signed 'Client Details – Existing Institutional Investor' form available from our Client Services Centre.

### 1. Related party notes

The Financial Intelligence Centre Act 38 of 2001 (FICA), requires us to identify investors, prospective investors and their beneficial / controlling persons and to confirm their identities before accepting an application. We do this to prevent identity theft or fraud and prevent money laundering and terrorist financing.

The Tax Administration Act 28 of 2011 (adopting aspects of FATCA and CRS for Automatic Exchange of Financial Information) requires us to collect certain information about certain investors and its Controlling Persons' tax arrangements.

Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with relevant authorities.

The Related Parties identified below will be verified against the relevant documentation, which will be required to accompany this application form.

#### Associated person:

A person included in the management structure of an organization as well as a beneficiary, sponsor or donor.

#### Beneficial owner:

A person or legal entity that has a controlling ownership of more than 25% or who exercises control over the organization.

#### Controlling person:

This is specifically in terms of FATCA / CRS and applies to the beneficial owners of Passive NFSs, an investment entity resident in a nonparticipating jurisdiction and is managed by another financial institution in a participating jurisdiction or a Trustee-documented trust.

For more detailed definitions of the related parties please refer to the **Addendum: related party definition** and for detailed FICA requirements please refer to the **Addendum: FICA check list** both of which are available from your Client Relationship team.

#### \* Persons authorised to view investment online:

- We will need to have a valid cell phone number on record for you to register
- This authority to access this investment online does not allow the authorised persons to transact on the unit trust portfolio(s) or to give any other instructions
- Nedgroup Investments is entitled to, and shall, regard online access obtained through the login details issued to you and/or the authorised person(s) as actually originating from you

#### \*\* Persons authorised to transact on behalf of the investor online:

- Any instructions from an authorised person(s) which require any changes to the bank account details that Nedgroup Investments has on record, will not be permitted
- Nedgroup Investments is entitled to, and shall, regard all instructions submitted through the login details issued to you and/or the authorised person(s) as actually originating from you

### 2. Investor details

Investor name

Investor number

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### 3. Related party details

**Please note:**

- If you are removing a related party, please only provide the name
- If you are updating your details, please provide the name and complete only the information you would like updated
- If you are adding a new related party, please provide required supporting documentation as per the FICA checklist
- Please complete a form for each related party

**Please provide details of related party and indicate what you would like to do**

Name	Action		
	Add	Remove	Update details
	✓	OR	✓

**Please indicate your related party role and complete only the applicable sections**

✓		3.1	3.2	3.3	3.4	3.5
<input type="checkbox"/>	Primary contact person	✓	✓			
<input type="checkbox"/>	Alternate contact persons	✓				
<input type="checkbox"/>	Authorised persons (signatories)	✓	✓	✓		
<input type="checkbox"/>	Associated persons	✓	✓	✓		
<input type="checkbox"/>	Beneficial owners	✓	✓	✓		
<input type="checkbox"/>	Controlling persons	✓	✓	✓	✓	
<input type="checkbox"/>	Persons requesting viewing only online access*	✓				
<input type="checkbox"/>	Persons authorised to transact online**	✓	✓	✓		
<input type="checkbox"/>	Where any related party is a legal entity					✓

3.1. Personal details

Please note:

Please provide proof of identity for all related persons.

Title and surname

First names

SA ID number

Cell phone number +  (0)

Email address

3.2. Nationality

Passport number  
(if foreign national)

Passport expiry date

D

D

M

M

Y

Y

Y

Y

Passport country

Country of birthPlace of birth (city or town)

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

Nationality / citizenship 1

Nationality / citizenship 2

Nationality / citizenship 3

Nationality / citizenship 4

Nationality / citizenship 5

3.3. Address

Residential addressPostal address

(if different)

CodeCode

Country

South Africa

Country

South Africa

If otherIf other

3.4. Tax residency

Only complete for each controlling person if the entity is classified under FATCA / CRS as:

- A passive Non-Financial Entity
- Trustee-documented trust
- An investment entity that is resident in a non-participating jurisdiction and is managed by another financial institution in a participating jurisdiction

Are you a **US citizen**, a **US person** or a **US national**? ☐ Yes ☐ No

Please note:

- If 'Yes' is selected, please complete an **IRS W-9 form** in addition to this document
- If you are NOT a United States (US) citizen, a US person or a US national but you have a US physical or postal address, please complete a W-8-BEN form
- 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 need to provide Nedbank with a completed IRS W-8-BEN

Forms can be found on [www.irs.gov](http://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

If 'Yes', please complete the following for each country of tax residency:

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.

I undertake to advise Nedgroup Investments promptly and provide an updated self-certification form where any change in circumstances occur which causes any of the information contained in this addendum to be incorrect.

3.5. Legal entities

Please refer to our FICA check list for details of the supporting documentation that must be submitted together with this application for your legal entity type.

Registered name													
Trading name local													
Trading name foreign													
Registration number													
Registered address							Postal address (if different)						
	Code							Code					
Country	South Africa						Country	South Africa					
If other							If other						
Physical business address													
											Code		
Country of incorporation													