



Tax information addendum - Entities

Submit the completed form and supporting documents to:

E-mail UTinstructions@sanlaminvestmentssupport.com Fax 0860 724 0467

If you have any questions, contact us on:

Tel 0860 100 266 E-mail service@sanlaminvestments.com

Important information

- Please read all the information in this form carefully and ensure that you understand it.
- Any writing/instruction outside of the allocated fields will not be processed.
- We require this information in order to fulfil our obligations to the South African Revenue Services (SARS) for FATCA (Foreign Account Tax Compliance Act) and CRS (Common Reporting Standards) reporting under agreements for the Automatic Exchange of Information relating to tax residency.
- The Multilateral Competent Authority Agreements signed between the Government of South Africa and other countries were designed to improve international tax compliance.
- Sanlam and all its group companies are thus required to collect information from each client to ensure that their identification and classification is correct according to the tax requirements. We will report on clients' tax status to SARS.
- If you need assistance filling in this tax information, please contact your tax adviser.

Please send the completed form to: UTinstructions@sanlaminvestmentssupport.com or fax it to 0860 724 0467.

If you have any questions, contact us on: 0860 100 266 or email service@sanlaminvestments.com

1. Entity details

Investor code _____

Registered name of legal entity _____

Entity registration number _____

Country of incorporation _____ Country of residence _____

Additional nationality/citizenship _____

Primary country of residence for tax purposes _____

Tax Identification Number _____

Is the organisation a registered tax payer of any country other than your primary country of residence? Yes No

If "Yes", please complete the information below for each country of tax residency:

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification Number.

Initial _____

2. Organisation's classification under FATCA

It is mandatory to classify yourself in this section. For guidance please refer to the Legal Entities Tax Residency Classification for FATCA and CRS document, available at www.sanlaminvestments.com. Alternatively, speak to your tax adviser.

If your organisation is a Financial Institution, please specify which type:

- South African Financial Institution or a Partner Jurisdiction Financial Institution
- Participating Foreign Financial Institution (in a non-IGA jurisdiction)
- Non-Participating Foreign Financial Institution (in a non-IGA jurisdiction)
- Financial Institution resident in the USA or in a US Territory
- Exempt Beneficial Owner (this includes a South African registered retirement scheme, a South African Governmental Organisation or an International Organisation)
- Deemed Compliant Foreign Financial Institution (this includes Non Profit Organisations and Financial Institutions with a Local Client Base)

If your organisation is not a Financial Institution, please specify below :

- Active Non-Financial Foreign Entity
- Passive Non-Financial Foreign Entity (Please complete Section 4 for Controlling Persons)

Please select an option if your organisation is a US tax resident and not a Specified US person:

- A regularly traded corporation on a recognised stock exchange
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion

3. Organisation's classification under Common Reporting Standard

Please select one with reference to the primary country of residence:

- Financial Institution under CRS (this includes all Non Reporting Financial Institutions for example a pension scheme, government entity and international organisation.)
- An investment entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please also complete section 4 for Controlling Persons)
- Entity, which frequently trades on an established securities market or associated with, an established securities market or a corporation which is a related entity of such a corporation.
- A Government Entity, a Central Bank or an International Organisation.
- Active Non-Financial Entity
- Passive Non-financial entity (Please complete Section 4 for controlling persons)

Initial _____

4. Controlling persons self-certification

Tax regulations require us to collect information for each Controlling Person's tax residency. The Controlling Person must be a natural person. We may be obliged to share information about your Controlling Persons with SARS who may share the information with any or all participating tax jurisdictions. Please note that we require FICA documentation for each Controlling Person. See annexure B for details of documentation requirements.

Details of controlling person 1

Title Mr Mrs Miss Other (specify) _____

Full name(s) and surname _____

Permanent residential address _____

Country _____ Postal code _____

Postal address _____
Only complete if different from Permanent residential address

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

Identity number _____ Passport number _____

Passport country of issue _____ Passport expiry date _____ (ddmmccyy)

Social Security Number (if US Citizen) _____

Primary country of tax residence _____

Tax Identification Number _____

Are you a registered tax payer of any country other than your primary country of residence ? Yes No

If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen you are resident for tax purposes in the USA

Details of controlling person 2

Title Mr Mrs Miss Other (specify) _____

Full name(s) and surname _____

Permanent residential address _____

Country _____ Postal code _____

Postal address _____
Only complete if different from Permanent residential address

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

Identity number _____ Passport number _____

Passport country of issue _____ Passport expiry date _____ (ddmmccyy)

Social Security Number (if US Citizen) _____

Primary country of tax residence _____

Tax Identification Number _____

Are you a registered tax payer of any country other than your primary country of residence ? Yes No

Initial _____

Details of controlling person 2 (continued)

If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen you are resident for tax purposes in the USA

Details of controlling person 3

Title Mr Mrs Miss Other (specify) _____

Full name(s) and surname _____

Permanent residential address _____

Country _____ Postal code _____

Postal address
Only complete if different from Permanent residential address _____

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

Identity number _____ Passport number _____

Passport country of issue _____ Passport expiry date _____ (ddmmccyy)

Social Security Number (if US Citizen) _____

Primary country of tax residence _____

Tax Identification Number _____

Are you a registered tax payer of any country other than your primary country of residence ? Yes No

If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen you are resident for tax purposes in the USA

Details of controlling person 4

Title Mr Mrs Miss Other (specify) _____

Full name(s) and surname _____

Permanent residential address _____

Country _____ Postal code _____

Postal address
Only complete if different from Permanent residential address _____

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

SA ID Number _____ Passport number _____

Passport country of issue _____ Passport expiry date _____ (ddmmccyy)

Initial _____

Details of controlling person 4 (continued)

Social Security Number (if US Citizen) _____

Primary country of tax residence _____

Tax Identification Number _____

Are you a registered tax payer of any country other than your primary country of residence ? Yes No

If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen you are resident for tax purposes in the USA

5. Declaration by investor/Authorised representative

- I/We certify that the information provided about my/our country of citizenship and country of tax residence is correct.
- I/We will notify Sanlam Collective Investments (RF) (Pty) Ltd immediately if my/our tax residency for Foreign Account Tax Compliance Act ('FATCA') or equivalent classification changes or if there are any changes in circumstances that may impact on my/our tax residency status and/or FATCA classification.

*Authorised signatory _____ Date signed _____ (dd/mm/ccyy)

*Authorised signatory _____ Date signed _____ (dd/mm/ccyy)

*Authorised signatory _____ Date signed _____ (dd/mm/ccyy)

*Authorised signatory _____ Date signed _____ (dd/mm/ccyy)

*Authorised signatory (ies) acting on behalf of the investor.

Initial _____



FICA - Additional information required

Important information

Each person acting on behalf of the investor will need to complete the sections below. In the event that more than one person is authorised to act on behalf of the investor, copies of this section can be made as required and must accompany the fully completed application form.

The information required is **mandatory** to meet legislative requirements and therefore the application will not be processed without receiving the additional information for each applicable party.

Tax status of person acting on behalf of Investor

Title Mr Mrs Miss Other (specify) _____

Full name(s) and surname _____

Permanent residential address _____

Country _____ Postal code _____

Postal address
Only complete if different from Permanent residential address _____

Country _____ Postal code _____

Date of birth _____ (ddmmccyy) Country of birth _____

Identity number _____ Passport number _____

Passport country of issue _____ Passport expiry date _____ (ddmmccyy)

Social Security Number (if US Citizen) _____

Primary country of tax residence _____

Tax Identification Number _____

Are you a registered tax payer of any country other than your primary country of residence ? Yes No

If "Yes" please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not Applicable

By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.

I certify that the information I have provided above is true and correct.

*Authorised signatory _____ Date signed _____ (dd/mm/ccyy)

*Authorised signatory acting on behalf of the investor

Initial _____

FICA requirements Non-Individual Legal Entities

Documents that we accept to verify your details

Before we can enter into a transaction with you, the Financial Intelligence Centre (FICA) requires that we verify:

- Your Identity by means of a bar coded Identity document**
- Your Residential Address

Please ensure that documents clearly show your Initials, Surname, Residential/Physical address and issue date.

1. These are the documents we will accept that may not be older than 3 months

- Utility bill in the entity's name (Municipal Rates and Taxes, Water, Electricity)
- Copy of Telkom statement in the entity's name
- Copy of bank, building society or credit card statement which displays physical address in the entity's name.
- Letter from the Rental company on a rental letterhead
- Copy of long or short term insurance policy / communication excluding Sanlam, Santam or MiWay

2. These are the documents we will accept that may not be older than 12 months

- Copy of SABC television license or SABC license card which displays physical address.
- Copy of SARS document (excluding assessments or e-filing documents) which displays physical address.
- Copy of lease or rental agreement which displays physical address (it is acceptable to only accept the first and last page of the lease agreement if the lease period is reflected in these pages)

3. Close Corporations and Partnerships

- Stamped Founding Statement and Certificate of Incorporation (CK1) /Partnership Agreement
- Stamped Amended Certificate of Incorporation (CK2), only applicable if changes have been made
- Proof of Address for the Close Corporation/Partnership (refer to sections 1 and 2)
- Resolution of Authorised Signatories
- Proof of Identity** and Address of all Members/Partners
- Proof of Identity** and Address of all persons authorised to act on behalf of the Close Corporation/Partnership

4. Trusts

Inter Vivos

- Trust Deed
- Letters of Authority (Stamped by the Master of the High Court)
- Proof of Identity** and Address of all trustees
- Resolution of Authorised Signatories
- Proof of Identity** and Address of all persons authorised to act on behalf of the Trust
- Proof of Identity** and Address of all named beneficiaries of the Trust

Testamentary

- Last will and testament or Trust Deed
- Letters of Authority (Stamped by the Master of the High Court)
- Resolution of Authorised Signatories
- Proof of Identity** and Address of all persons authorised to act on behalf of the Trust

Initial _____

5. Companies

Public company

- Certificate of Incorporation (CM1 / COR14.3 – that must be stamped by the Registrar of Companies); or
- Certificate of Name change (CM9)
- Notice of Registered Office and Postal Address (CM22 / COR14.1 – that must be stamped by the Registrar of Companies);
- Proof of Address for the Public Company (refer to sections 1 and 2)
- Resolution of Authorised Signatories with specimen signatures
- Proof of Identity** and Address of all persons authorised to act on behalf of the Public Company
- Proof of Identity** and Address of all persons that hold 25% or more voting rights

Private company

- Certificate of Incorporation (CM1 / COR14.3 – that must be stamped by the Registrar of Companies); or
- Certificate of Name change (CM9)
- Notice of Registered Office and Postal Address (CM22 / COR14.1 – that must be stamped by the Registrar of Companies);
- Proof of Address for the Private Company (refer to sections 1 and 2)
- Resolution of Authorised Signatories with specimen signatures
- Proof of Identity** and Address of all persons authorised to act on behalf of the Public Company

6. Other Legal Entities (Unions, Associations, Medical Schemes, Clubs, Stokvels, etc.)

- Founding Document or Constitution
- Proof of Address for the Legal Entity (refer to sections 1 and 2)
- Resolution of Authorised Signatories
- Proof of Identity** and Address of all persons authorised to act on behalf of the Legal Entity

7. Retirement Funds

- A copy of an FSB document reflecting the Fund's Registration Number
- Resolution of Authorised Signatories
- Proof of Identity** and Address of all persons authorised to act on behalf of the Retirement Fund

** If a Smart Card is used as an identification document, please ensure that we receive a clear copy of the back and the front of the Smart Card.

Initial _____