

## Unit Trusts Application Form Non - Individual Investors (new investors only)



- View the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to [www.sanlamunittrustsmdd.co.za](http://www.sanlamunittrustsmdd.co.za).
- The [Terms and conditions](#) are available on the web. If you cannot access the link provided above this can be obtained from our Client Contact Centre.
- To comply with regulatory requirements we have to identify and verify you before investing your funds.
- The investment will be finalised once we receive the fully completed, dated and signed form, with all the necessary supporting documents.
- If you wish to make an EFT payment, we will provide you with our bank details and your client account number once your Unit Trust account is opened.



**Completing the information correctly** will ensure that the investment is processed without delays.

- All information must be accurately completed.
- The form must be completed, **dated and signed** by the registered investor, or authorised signatories with valid authorisation from the investor such as a power of attorney or a mandate.
- Do not write any instructions outside the allocated fields.
- Initial any changes made.
- Return pages **2 to 8** to us with the relevant additional sections below.
- Complete and return the following sections if applicable:
  - **Appoint a financial adviser / broker** - Form A
  - **Authorisation from a bank account holder** - Form B
  - **Regulatory Supporting Requirement** - Form C



### Please note

In terms of the Client Due Diligence Act (**CDD**), we are required to obtain supporting documents for all legal entities as well as the applicable parties acting on their behalf. Please complete the information and supply the documents as specified in the [Regulatory Supporting Information](#)



### Our contact details

**Send the completed form and supporting documents to:**

E-mail [UTInstructions@sanlaminvestmentssupport.com](mailto:UTInstructions@sanlaminvestmentssupport.com)

**If you have any questions, contact us at:**

E-mail [service@sanlaminvestments.com](mailto:service@sanlaminvestments.com)

Tel 0860 100 266

Website [www.sanlaminvestments.com](http://www.sanlaminvestments.com)



### Cut off times

#### Fund type

Sanlam Alternative Income Fund

Money Market funds

All other funds

#### Cut off time

11:00

13:00

15:00

**All required documents must be provided before the cut off time in order for your instruction to be processed on the same day.**



## Unit Trust Application Form Non - Individual investors (new investors only)

### 1. Investor details

All fields in section 1 are mandatory and must be completed in the name of the registered legal entity, regardless of who the payer is.

Registered name of legal entity \_\_\_\_\_

Trading name \_\_\_\_\_

(only complete if different from registered name)

Entity registration number \_\_\_\_\_ (15 digits)

Country of incorporation \_\_\_\_\_ Date of incorporation \_\_\_\_\_ (ddmmccyy)

Nature of business \_\_\_\_\_

Company email address \_\_\_\_\_

This email address will be used to communicate with the business

#### Type of entity

- |  |   |
|--|---|
| <input type="checkbox"/> Linked Investment Service Provider        | <input type="checkbox"/> Fund of Fund                             |
| <input type="checkbox"/> Trust Companies                           | <input type="checkbox"/> Private Trusts                           |
| <input type="checkbox"/> Pension and Provident Funds               | <input type="checkbox"/> Insurers                                 |
| <input type="checkbox"/> Domestic Unit Trust                       | <input type="checkbox"/> Foreign Unit Trust                       |
| <input type="checkbox"/> Household Sector                          | <input type="checkbox"/> Non Resident                             |
| <input type="checkbox"/> Local Government                          | <input type="checkbox"/> Medical Scheme                           |
| <input type="checkbox"/> Banks                                     | <input type="checkbox"/> Other non-bank financial institutions    |
| <input type="checkbox"/> Public sector financial corporations      | <input type="checkbox"/> Public sector non-financial corporations |
| <input type="checkbox"/> Private sector non-financial corporations |   |
| <input type="checkbox"/> Finance Companies                         |   |

Registered address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address \_\_\_\_\_

(only complete if different from registered address)

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Operating address \_\_\_\_\_

(only complete if different from registered address)

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Please specify regular source of income.

- |  |   |                                     |  |
|--|---|-------------------------------------|--|
| <input type="checkbox"/> Company profits       | <input type="checkbox"/> Sale of shares | <input type="checkbox"/> Investment | <input type="checkbox"/> Corporate Dividends |
| <input type="checkbox"/> Other (Specify) _____ |   |                                     |  |

Initial \_\_\_\_\_

## Beneficial Owners and Controlling Persons

Please provide details of the **beneficial owners / controlling persons** below. Each beneficial owner / controlling person needs to complete a Form C and provide copies of their identity documents.

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

Full Name \_\_\_\_\_ Capacity \_\_\_\_\_

## Details of contact person

Title \_\_\_\_\_

Full name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

Email address \_\_\_\_\_

Contact numbers	International dialling code	Area code	Number
Telephone (office)			
Telephone (alternative office)			
Cell/Mobile		n.a.	

## 2. Investor classification (only the following parties need to complete this section)

Please mark the applicable option with an "X", complete where necessary

- Sanlam Trust VP number \_\_\_\_\_
- Sanlam
- Institutional
- Sanlam Private Wealth (SPW)
- Sanlam Private Wealth (SPW): Portfolio Managers BDA number: \_\_\_\_\_
- SIM Swaziland

Initial \_\_\_\_\_

### 3. Investment fund details

Please select the fund(s) you would like to invest in, and indicate the amount you would like to invest.

If you are unsure about which funds suit your needs, please consult your broker or Sanlam financial adviser.

Please review the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to [www.sanlamunittrustsmdd.co.za](http://www.sanlamunittrustsmdd.co.za).

Unit trust fund(s)	*Class	Lump sum deposit <i>Please provide an estimate if amount is still to be confirmed</i> (R)	Lump sum collection (R)	Monthly recurring debit order (R)	Income distribution (please tick selection)	
					Reinvest	Pay out

\* If you do not specify a fund class, your investment will be allocated to a default class.

Initial \_\_\_\_\_

#### 4. Source of funds for this investment

Please advise where the funds for this investment come from:

Source of funds (please specify): \_\_\_\_\_

#### 5. Payment instructions

You have the following options for payment:

##### 5.1 We collect funds via debit order

Lump sum collection

- We will debit your bank account within 3 business days if all your documentation is in order.
- Amounts are restricted to a maximum of R1 million per debit. Use the EFT payment option in section 5.2 for amounts exceeding R1 million.

**and/or**

Monthly debit order on the \_\_\_\_\_ (dd) day of each month starting \_\_\_\_\_ (mmccyy)  
(This date is only between the 1<sup>st</sup> and the 28<sup>th</sup>).

Annual increase \_\_\_\_\_ %

Annual increase date \_\_\_\_\_ (mmccyy)

##### Payment selection

Payment is from the Legal Entity bank account  
**(Complete Section 6)**

**OR**

Payment from a third party bank account  
**(Complete Form B).**

For use when opening an investment and the debit order is being paid by a third party.

**OR**

##### 5.2 You pay via an Electronic Fund Transfer (EFT)

Lump sum deposit

- Once your account has been opened, you will receive notification and payment instructions.

Initial \_\_\_\_\_

## 6. Investor banking details

The banking details specified will be used for

- Disinvesting
- Income distribution payments
- Debit order

Payments will only be made into the account of the registered Legal Entity. Payments cannot be made to third parties.

Bank account holder \_\_\_\_\_

Identity / Entity registration number \_\_\_\_\_

Name of bank \_\_\_\_\_

Account number \_\_\_\_\_

Name of branch \_\_\_\_\_

Branch code \_\_\_\_\_

Type of account: Current  Savings

I / we instruct and authorise Sanlam or its agents to draw direct debits against the bank account as per this instruction and in section 3 and 5.1

Signature of bank account holder \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)  
(If applicable)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)  
(If applicable)

## 7. Investor interaction preference

I would like to receive SMS notifications when I transact on my account Yes  No

I want to receive marketing information Yes  No

### Ways to manage and track your investment

We will send you all your investment correspondence to the email which you provided.

Your statements and tax certificates will be available on the Sanlam Secure Services website should you need to have a printed copy.

Once you have your investor number you can register to transact on Sanlam Secure Services.

In line with Sanlam's responsibility towards the environment, we will no longer send postal statements. If post is your only means of receiving correspondence, please contact our Client Contact Centre.

Initial \_\_\_\_\_

### 8. Self Certification (Tax status)

We require this information in order to report to the South African Revenue Services (SARS) for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) as per the Automatic Exchange of Information (AEOI) for International tax compliance.

Primary country of tax jurisdiction \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

If your primary country of tax jurisdiction is South Africa, are you registered for Value-Added Tax (VAT)? Yes  No

If "Yes", please supply your VAT number: \_\_\_\_\_

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

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

Country of tax residence	Tax Identification Number	OR	Reason Tax Number not applicable

#### 8.1 Organisation’s classification for Global Tax reporting purposes

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](http://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-Intergovernmental Agreement jurisdiction).
- Non-Participating Foreign Financial Institution (in a non- Intergovernmental Agreement 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 you are a financial institution that has obtained a Global Intermediary Identification Number (GIIN).

Please supply GIIN number: \_\_\_\_\_

**Please note:** If the legal entity has a GIIN number then the tax number for the Controlling Persons (CPs) are not required. FATCA only requires the information (including tax number) of the CPs where the entity is a Passive Non-Financial Entity.

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

- Active Non-Financial Entity.
- Passive Non-Financial Entity (*Please complete form C 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.

Initial \_\_\_\_\_

## 8.2 Organisation's classification under Common Reporting Standard (CRS)

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 complete Form C for Controlling Persons* (natural persons only) in respect of any Controlling Persons).
- Active Non-Financial 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.
- Active Non-Financial Entity - a Government Entity, a Central Bank or an International Organisation.
- Active Non-Financial Entity, other than those listed above (for example a start-up Non-Financial Entity or a Non-profit Organisation).
- Passive Non-financial entity (*Please complete Form C for Controlling Persons*).

## 9. Withholding tax status

Some beneficial owners of dividends are entitled to an exemption (local and/or foreign persons) or a reduced rate (foreign persons) provided the required declaration and undertaking are submitted to the company or withholding agent

I qualify for a Dividends tax exemption, Dividends tax reduced rate or Withholding tax on Interest in terms of the Income Tax Act.

Yes  No

If "Yes", please complete a *Dividends tax exemption DTD(EX)*, *Dividends tax reduced rate DTD(RR)* or *Withholding Tax on Interest Declaration Form (WTI)* form, available on our website [www.sanlaminvestments.com](http://www.sanlaminvestments.com)

## 10. Investor declaration

By signing this application form I agree that I have read and understand the application form and related terms and conditions.

Signature of investor \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory\* \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory\* \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory to sign on behalf of Controlling Person.

Initial \_\_\_\_\_





## Form A Appoint a financial adviser / broker

Complete and submit this section with your investment application form if you received advice from a financial adviser.

### Important information

Only one financial adviser is applicable per investor.  
All fees are explained in the Minimum Disclosure Document (MDD).

#### Initial advice fee

- Maximum amounts payable as an initial advice fee are explained in the MDD's.
- Initial advice fees are applied to each contribution and deducted before the investment is made on your Client Account.

#### On-going advice fee

- This annual advice fee is not applicable to funds or classes where a trailer fee is already included in the service fee.
- The annual advice fee is calculated on the daily market value of the investment portfolio, paid to the financial adviser monthly. It is paid in arrears and from the sale of units from the investor's client account, thereby reducing the units.

### Financial adviser details

I wish to appoint the following financial adviser as the preferred adviser on all my Sanlam Collective Investment Accounts.

Adviser / Broker code \_\_\_\_\_

Full name(s) \_\_\_\_\_ Surname \_\_\_\_\_

### Fee instruction

I agree to pay the following Initial and On-going Advice Fee (excluding VAT).

Unit Trust Fund Name	Initial Advice Fee %	On-going Advice Fee %

- If you do not fill in any fees, it will default to 0%.
- If the fund selected does not allow an On-going advice fee, the fee will default to 0%.
- If you have selected a fee greater than that of the fund's maximum, the fee will default to the fund's maximum.
- Any fees indicated on this form will be applied to all future transactions.

Authorised signatory\* \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory\* \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatories acting on behalf of the Legal Entity.

Initial \_\_\_\_\_

## Sanlam financial adviser / broker declaration

### Sanlam financial adviser:

#### Financial advice

It is the adviser's responsibility to complete the advice documents for this transaction and forward them, with this application form, to Sanlam.

#### FICA declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (if applicable). I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 ("FICA"), and any legislation, regulations or guidelines related to it.

Copies of these documents are attached.

Does this application replace the whole or part of an existing product? Yes  No

If "Yes", please provide a completed replacement advice record with the FAIS documents.

\_\_\_\_\_  
Signature of Sanlam financial adviser

### Broker:

#### FSP license

I declare that I am a licensed financial services provider or a representative of a financial service provider. I am authorised to sell unit trusts.

FSP license number: \_\_\_\_\_

#### FICA declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (if applicable). I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 ("FICA"), and any legislation, regulations or guidelines related to it.

Copies of these documents are attached

\_\_\_\_\_  
Signature of broker

Initial \_\_\_\_\_



## Form B Authorisation from bank account holder

Complete and submit this section if the payment is from a third party's bank account

### Individuals

- Copy of the third party's identity document.

### Non-individuals

- Proof of establishing document
- A list of authorised signatories (Name, Surname and copy of identity document and specimen signatures) on a company letterhead who will be acting on behalf of the company
- Proof of banking details (copy of a bank statement, not older than 3 months)

### Third Party information

First name(s) and Surname / Registered name of legal entity \_\_\_\_\_

Date of birth/ incorporation \_\_\_\_\_ (ddmmccyy) Country of birth/ incorporation \_\_\_\_\_

Identity / Entity Registration number \_\_\_\_\_

**OR** Passport (if foreign national): \_\_\_\_\_ **OR** Social security number \_\_\_\_\_

Number \_\_\_\_\_

Expiry date \_\_\_\_\_ (ddmmccyy)

Country \_\_\_\_\_

Registered address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Email address \_\_\_\_\_

Cell / Mobile \_\_\_\_\_

Designation e.g.( trustee / founder/ beneficiary >25% ownership) \_\_\_\_\_

Occupation \_\_\_\_\_

Self Employed Yes  No

Nature of your self-employment \_\_\_\_\_

Please specify where the funds for this investment come from.

Salary  Inheritance  Savings  Bonus  Other (Specify) \_\_\_\_\_

### Third Party banking details

Bank account holder \_\_\_\_\_

Name of bank \_\_\_\_\_

Account number \_\_\_\_\_

Name of branch \_\_\_\_\_

Branch code \_\_\_\_\_

Type of account Current  Savings

### Declaration

I instruct and authorise Sanlam or its agents to draw direct debits against my bank account as per the instruction in section 3 and 5.1

Signature of bank account holder \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory to sign on behalf of Controlling Person.

Initial \_\_\_\_\_



## Form C – Regulatory Supporting Requirement - Non Individual

### Important information

- This form must be completed by **all** parties stated in the [Regulatory Supporting Information](#)
- Each person is required to complete the sections below. In the event that more than one page is required, copies of this section can be made and must accompany the fully completed application form.

### Personal details of the Controlling person(s)

Title \_\_\_\_\_ First name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

Identity number \_\_\_\_\_

**OR** Passport (if foreign national): \_\_\_\_\_ **OR** Social security number \_\_\_\_\_

Number \_\_\_\_\_

Expiry date \_\_\_\_\_ (ddmmccyy)

Country \_\_\_\_\_

Email address \_\_\_\_\_

Cell/Mobile \_\_\_\_\_

Designation e.g (trustee / founder/ beneficiary >25% ownership) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Please note: If the legal entity has a GINN number then the tax number for the Controlling Persons (CPs) are not required. FATCA only requires the information (including tax number) of the CPs where the entity is a Passive Non-Financial Entity.

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	Reason Tax Number not Applicable

### Declaration and signature

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

Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory to sign on behalf of Controlling Person.

Initial \_\_\_\_\_