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# RETAIL INVESTOR HEDGE FUND UNIT TRUST APPLICATION FORM
## LEGAL ENTITIES

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the FR Retail Hedge Fund Scheme and the FR QI Hedge Fund Scheme, both approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

**IMPORTANT INFORMATION**

1. Fees and Fund information, please refer to the **MDDs** under **Investor Forms & Fund Documentation** on our website: **www.fundrock.com/fundrock-south-africa**.
   Please complete all relevant sections of this application as well as Annexure A and B in order to process this investment.
2. Please read the **Investor Terms and Conditions of Engagement** that apply to this investment.
3. Please email the required documents in the checklist below for processing to **hedge-instructions@fundrock.com**.
4. **Daily Liquidity Portfolios:** The cut-off time for submitting an instruction is 14h00 on any business day for all investment options. Instructions received after the cut-off time will be processed on the following business day.
5. FR will process this application when all required documents are received, and once in order we will provide you with FR's banking details. The details of our bank account will remain the same throughout the transaction and the duration of our business relationship, and you should not make any changes without first consulting our client services team.
6. To protect your funds from the negative consequences of possible cyber-attacks, we recommend that you confirm the deposit details telephonically with our client services team by calling 021 007 1500/1/2 or 021 879 9937/9 before transferring funds. Please note that we take no responsibility for any monies paid into incorrect bank accounts, being that due to negligence or cyber fraud linked to your email account. By signing this form you agree to these terms.
7. The legal owner of the investment will be the entity in whose name the investment is registered.
8. All corrections and changes to this application must be initialed by the investor.
9. FR reserves the right to request additional documents/information.

## DOCUMENT CHECKLIST

- FICA Documents as per Annexure C ☐
- Proof of your bank details (e.g. bank statement) ☐
- If a representative is acting on behalf of the entity, we need the following from the representative:
  - Completed Annexure A ☐
  - Proof of authority (e.g. power of attorney / discretionary mandate) ☐
  - A copy of South African green bar-coded Identity Document/ID Card (South African citizens) or valid passport (if Foreign National) ☐
  - FATCA Self Certification Annexure B ☐

## SECTION 1: INVESTOR DETAILS

Exchange control ☐ Retail ☐ Institutional (Retirement funds, Long-term insurers, Collective Investment Scheme Management companies)

**SARB Type:**

| | | |
|---|---|---|
| Banks ☐ | Central Government ☐ | Domestic Unit Trusts ☐ |
| Finance Companies ☐ | Foreign Unit Trusts ☐ | SA Trusts ☐ |
| Insurers ☐ | Linked Investment Service Providers ☐ | Local Government ☐ |
| Non-residents ☐ | Other Non-bank Financial Institutions ☐ | Pensions and Provident Funds ☐ |
| Trust Companies ☐ | Public Sector Financial Corporations ☐ | Private Sector Non-financial Corporation ☐ |
| | | Public Sector Non-financial Corporations ☐ |

Other (Please Specify) _____

**Entity Type:**

Charity, foundation, NPO registered/ regulated ☐
Charity, foundation, NPO unregistered/ unregulated ☐
Close Corporation ☐
Collective Investments Schemes/ Investment Fund (regulated) ☐
Listed Company ☐
Nominee Company/LISPS (regulated) ☐
Partnerships ☐
Private Company (LLC / INC / LTD) ☐
Trusts ☐
Retirement/Pension/Provident funds ☐
Unincorporated Entities or Other Legal Persons (church, school, club, university, stokvel, etc.) ☐

Other (Please Specify)

**Industry Type:**

Aerospace & Defense ☐
Agriculture, Forestry & Fishing ☐
Banks/Financial Services ☐
Casinos ☐
Communication & Technology ☐
Construction & Engineering ☐
Digital Assets/Crypto Fund ☐
Diversified Metals & Mining ☐
Education ☐
Entertainment & Recreation ☐
Healthcare Services ☐
Internet Gambling/Online Betting Entity ☐
Manufacturing ☐
Precious Metals & Minerals ☐
Real Estate Services ☐
Retail ☐
State Owned Entity/Government ☐
Transportation, Storage & Logistics ☐
Utilities ☐

Other (Please Specify)

Is the Entity domiciled in South Africa? ☐ Yes ☐ No
If no, please state where?
Is your bank account domiciled in South Africa? ☐ Yes ☐ No
If no, where is your bank domiciled?

**Source of wealth or income (FR reserves the right to request additional supporting documents)**
*(Definition: The financial activities that have generated the investor's net-worth)*

Business Operating Income ☐
Commission ☐
Company Profits ☐
Member Contributions ☐
Retained Earnings ☐
Trust Income ☐

Other (Please Specify)

Registered Name
Registration / Incorporation Number
Date of Incorporation / Registration D D / M M / Y Y Y Y
Country of Incorporation
Country of Operation
Tax Number
Registered Address (Head Office)
Postal Code
Business Operating ☐ If the same as above, please check this box
Physical Address
Postal Code

**Contact Details for Person at Entity**

Would you like to have on-line viewing access? Yes ☐ No ☐

| | |
|---|---|
| Title | |
| Surname | |
| First Name(s) | |
| Identification Number | |
| Telephone (W) | |
| Mobile | |
| Email | |

**Dividend Withholding Tax**

SARS requires us to pay over dividend tax on your behalf where applicable. We will deduct this tax before we pay any dividends to you or re-invest these into your investment account. The rate for South African tax payers is 20% and unless we received information from you indicating other accounts held by South African trusts and partnerships will attract the default Dividend Withholding Tax rate.

**Legal Entity**

Please complete the following sections below in order for us to load the correct tax rate:

- The investor is a South African registered legal entity and is exempt (Please complete the below section) ☐
- The investor is not registered in South Africa for tax purposes ☐
- Non-South African investors may qualify for a reduced tax rate. Please indicate which country you are registered in for tax purposes.
- None of the Above (Default tax rate will apply) ☐

**Reason for Exemption**

- Par (a) of section 64F - A company which is resident in South Africa ☐
- Par (b) of section 64F - The Government, provincial government or municipality (of the Republic of South Africa) ☐
- Par (c) of section 64F - A public benefit organisation (approved by SARS ito section 30(3) of the Act) ☐
- Par (d) of section 64F - A trust contemplated in section 37A of the Act (mining rehabilitation trusts) ☐
- Par (e) of section 64F - An institution, body, or board contemplated in section 10(1)(cA) of the Act ☐
- Par (f) of section 64F - A fund contemplated in section 10(1)(d)(i) or (ii) of the Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund) ☐
- Par (g) of section 64F - A person contemplated in section 10(1)(t) of the Act (Council for Scientific and Industrial Research, South African Inventions Development Corporation or the South African National Roads Agency Limited) ☐
- Par (h) of section 64F - A shareholder in a registered micro business, as defined in the Sixth Schedule, paying that dividend, to the extent that the aggregate amount of dividends paid by that registered micro business to its shareholders during the year of assessment in which that dividend is paid does not exceed the amount of R200 000 ☐
- Par (i) of section 64F - A small business funding entity as contemplated in section 10(1)cQ. ☐
- Par (j) of section 64F - A person that is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of 'dividend' in section 64D (i.e. a dividend paid by a non resident company that is listed in South Africa). ☐
- Par (k) of section 64F - Portfolio of a collective investment schemes in securities. ☐
- Par (l) of section 64F - Any person insofar as the dividend constitutes income of that person (i.e. falls into the normal tax system). ☐
- Par (n) of section 64F - Fidelity and indemnity funds contemplated in section 10(1)(d)(iii) - i.e. only the two, not the other entities mentioned ☐
- Other reason *(Please provide details below):* ☐

**Declaration and Undertaking**

Declaration in terms of sections 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa)of the Act:

I _____ (full names in print), the undersigned hereby declare that dividends paid to the investor is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Undertaking in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I _____ (full names in print), the undersigned undertake to forthwith inform FR in writing should the circumstances of the investor referred to in the declaration above change.

## ONLINE ACCESS

If you require additional person/s (other than the contact person) to have online access, please complete the online registration form at **www.fundrock.com/fundrock-south-africa**. This will enable you to view and access the **Investment Statements.**

## SECTION 2: INVESTMENT DETAILS

| Portfolio Name | Class | Lump Sum Investment (R) | Monthly Debit Order Investment (R) | [1.] Initial Advice Fee % | [2.] Ongoing Annual Advisory Fee % | Reinvest Distributions | |
|---|---|---|---|---|---|---|---|
| | | | | | | Reinvest | Payout |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| TOTAL INVESTMENT AMOUNT | | | | | | | |

[1.] Refer to **www.fundrock.com/fundrock-south-africa** for maximum fees applicable. Initial advice fee is deducted from the investment amount and paid to the advisor.

[2.] Negotiable to a maximum of 1% per annum (excl. VAT). Advisory fees are withdrawn by way of unit redemption. The annual advice fee, if any, is in addition to the standard service charges and initial advice fee.

Please note: Investors should agree to all fees. If no fees are inserted above, 0% fees will be implemented. Please refer to **www.fundrock.com/fundrock-south-africa** for fund information and maximum fees; or visit our website for the detailed Minimum Disclosure Documents.

The Investor agrees that FR may retain the interest earned net of bank charges on the section 104 client deposit account, if any.

FR reserves the right to change the administration processes, charges and thresholds subject to at least 3 months' notice to investors.

**Authorised signatory/ies** Date D D / M M / Y Y Y Y

| | | | |
|---|---|---|---|
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |

## SECTION 3: PAYMENT DETAILS

**Source of funds (Where the funds for the investment are coming from)**

☐ Capital/Savings ☐ Business Income/Profit ☐ Donation ☐ Investment Proceeds ☐ Sale of Property

☐ Other/Specify

**Purpose of Investments (example: long term savings, short term savings, etc.)**

Please specify

**Method of payment** ☐ Electronic / Internet transfer / Direct deposits*

☐ Debit order on D D / M M / Y Y Y Y

***If you prefer to do an electronic/internet transfer, banking details will be provided once your application form has been processed successfully. Proof of payment will be required.**

## SECTION 4: BANK DEBIT AUTHORITY

**Debit order will be collected on the last day of each month.** **Investor** ☐ ***Third Party (Legal guardian)** ☐

**(We only accept 3rd party bank for a minor)**

*****If the bank account holder is a third party individual, or legal entity please complete the **Third Party Authorisation form** available on the FR website.

I hereby instruct and authorise FR to draw direct debits against the bank account below. Debit orders can only be drawn from a South African bank account. The following accounts cannot be debited: an offshore, blocked rand, credit card, bond, or market-linked bank account. No 3rd party banks will be accepted, except for minors.

Account Holder

Name of Bank

Branch Name Branch Code

Account Number

Account Type ☐ Current ☐ Savings ☐ Transmission

**Debit Order Details**

Total to be collected R commencing on the last day of M M / Y Y Y Y

Debit order shall be debited from my account on the last day of the month. Should the last day of the month, however, fall on a weekend or RSA public holiday, the debit order will be debited on the last business day of the month. The cut-off for all debit order notices to be processed in a particular month is by 14:00, **three business days** before the selected day.

**Optional escalation rate per annum** ☐ 5.00% ☐ 10.00% ☐ 15.00% ☐ Other %

*If no escalation rate is completed, a 0% escalation will be applied.*

**Authorised signatory/ies** Date D D / M M / Y Y Y Y

| | | | |
|---|---|---|---|
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |

Where changes are made to banking details or transfers to third parties are requested, FR may perform telephonic verification using the contact details on record to authenticate such instructions.

## SECTION 5: REGULAR WITHDRAWAL INSTRUCTIONS

**Payment Frequency** ☐ Monthly ☐ Quarterly ☐ Biannually ☐ Annually

Start date D D / M M / Y Y Y Y Preferred date D D

Participatory interests will be redeemed at the price calculated according to the requirements of the Collective Investment Schemes Control Act No 45 of 2002, and in line with the terms and conditions of the relevant Deeds and will be paid to the unitholder within 2 business days. Inter-bank rules may apply. The transaction cut-off time is 14:00pm SA time on a business day. All instructions received after the above-mentioned cut-off time will be processed on the following business day.

**FROM FUND**

| Portfolio Name | Amount per regular withdrawal (R) | | Percentage |
|---|---|---|---|
| | | or | % |
| | | or | % |
| | | or | % |
| TOTAL TO BE WITHDRAWN PER PERIOD | | | **%** |

## SECTION 6: INVESTOR BANK ACCOUNT DETAILS (Account to be used for repurchase payments)

Please keep FR informed of any changes in your banking details by completing the Investor Update Form.

Account holder

Bank

Branch name

Branch code

Account number

Account type ☐ Current ☐ Savings ☐ Transmission

All payments are made electronically to the current, transmission or savings bank account of the registered investor only. No payments will be made to credit card or market-linked accounts. No Third Party bank accounts are permitted.

## SECTION 7: FINANCIAL ADVISOR DETAILS

**FINANCIAL ADVISOR**

Full name and surname

FSP name (FSP)

FSP licence number

Financial advisor code

Advisor email

**Financial advisor FAIS declaration**

1. I have made the disclosures required in terms of the Collective Investment Schemes Control Act and Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS) and subordinate legislation thereto, to the investor. ☐ Yes ☐ No
2. I have explained all fees that relate to this investment to the investor. I understand and accept that the investor may write to FR to cancel my fees. ☐ Yes ☐ No
3. I confirm that where the applicant is a minor, I have obtained the legal guardian's consent to process the personal details of the minor as contained herein. ☐ Yes ☐ No
4. I confirm that the investment is suitable and appropriate to the investors risk profile and based upon a needs analysis conducted. ☐ Yes ☐ No

**Signature of financial advisor** Date D D / M M / Y Y Y Y

**Name of signatory**

**INVESTOR**

**Discretionary mandate declaration**

This section is **only applicable if the FSP above holds a 'Category II' Licence** with the FSCA and is therefore an approved discretionary FSP. Where the FSP has a Category II FAIS Licence and the Investor has mandated the FSP/Representative to act on his/her behalf in terms of a discretionary mandate, a copy of the discretionary mandate must be provided. FR will not act on instructions from the FSP/Representative if not provided.

1. I confirm that I have entered into a mandate with the above approved discretionary FSP. ☐ Yes ☐ No
2. I agree and understand that, in terms of the mandate, the FSP may give FR investment instructions directly, and I authorise FR to accept all instructions, including electronic transactions, submitted by the FSP on my behalf. ☐ Yes ☐ No
3. I confirm that where the applicant is a minor that I am the legal guardian of the minor, and have consented to the approved FSP processing the personal details of the minor in respect of this application. ☐ Yes ☐ No

**Signature of investor(s) or legal guardian/Person acting on behalf of investor** Date D D / M M / Y Y Y Y

**Authorised signatory** **Name of signatory**

**Authorised signatory** **Name of signatory**

**Authorised signatory** **Name of signatory**

## SECTION 8: INVESTOR DECLARATION

1. I/We confirm that all information provided in this form is true and correct.
2. Where this application form is signed in a representative capacity, I confirm that I have the necessary authority to do so.
3. I/We confirm that FR may accept instructions from any authorised third-party who has been authorised by me/us in writing.
4. I/We have read and understood the relevant fund factsheets (minimum disclosure documents) of the **hedge fund** I/we wish to invest in.
5. I/We have read, understood and agree to the latest **Investor Terms and Conditions of Engagement** on the website **www.fundrock.com/fundrock-south-africa.**
6. Where signed in the capacity as legal guardian, I explicitly consent to the use of the minor's personal details contained herein.
7. FR will accept electronic signatures accompanied by a certificate or audit trail.
8. I/We hereby indemnify and hold FR, its affiliates, directors, officers, employees, and agents harmless from and against any and all claims, losses, liabilities, damages, costs, and expenses (including reasonable legal fees) arising from or in connection with the use of electronic signatures, including any fraud, misrepresentation, or unauthorised use by any person.
9. As per the Terms and Conditions, I/we agree that FR may recover all direct and indirect administrative, tracing, or related costs incurred where my/our investment is treated as an unclaimed asset or where I/we failed to maintain up to date FICA, risk rating or contact information. Such costs may be deducted from the value of the investment.

**PRIVACY STATEMENT**

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and the FR Privacy Policy. It is important to us that you understand how we obtain, process, store, and share your information. We may disclose your information to other entities in the Apex Group and/or its subsidiaries, agents, partners, or sub-contractors, for purposes as described in this application or related privacy policies. By submitting any personal information to FR you provide us with your consent to, alternatively acknowledge, the processing and sharing of your personal information and/or that personal information which you have provided that relates to other data subjects, as set out in the Privacy Policy. Please do not submit any personal information to FR if you do not agree/object to any of the provisions of the Privacy Policy. Should you object to the Privacy Policy, or parts thereof, FR may not be able to provide its products and/or services to you. To access the FR Privacy Policy please click on the **link** or on **www.fundrock.com/fundrock-south-africa.**

| **Signature of investor(s) or legal guardian/ Person acting on behalf of investor** | | Date D D / M M / Y Y Y Y | |
|---|---|---|---|
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |
| **Authorised signatory** | | **Name of signatory** | |

**POPIA**

By signing this application, I consent, alternatively acknowledge, that I have read and understood the Privacy Policy and I consent, alternatively acknowledge, to the collection, processing, storage, and internal sharing of my personal information by FR and members of the Apex Group, in accordance with the Protection of Personal Information Act, 4 of 2013 (POPIA).

## CONTACT DETAILS

**Physical Address**

Fundrock Collective Investments
Catnia Building
Bella Rosa Village
Bella Rosa Street
Bellville
7530

**Contact us**

Tel: +27 21 007 1500/1/2 or +27 21 879 9937/9
Email: sa-hedgesupport@fundrock.com | sa-compliance@fundrock.com
Visit our website: **www.fundrock.com/fundrock-south-africa**

*Should you have any complaints, please send an email to sa-complaints@fundrock.com*

ASISA AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA

**Custodian / Trustee**

FirstRand Bank Limited (acting through its RMB Custody and Trustee Services Division)
Tel: +27 87 736 1732

## ANNEXURE A: HEDGE FUND BENEFICIAL OWNERS AND AUTHORISED SIGNATORIES

**Important Information**

The Financial Intelligence Centre Act no. 38 of 2001 (FICA) obliges FR to verify the identity of each beneficial owner and authorised persons.

Each of the following **natural persons** must complete this Annexure A:

1. If the legal entity is a **COMPANY (listed or unlisted)** complete the below and provide a copy of ID or passport and proof of address (foreign nationals) for:
   - All directors
   - All authorised signatories
   - Each natural person who independently or together with another person has a controlling ownership interest of 5% or more in the company; or
   - Each natural person who exercises control of the company through other means, including through his or her ownership or control of the company; AND
   - Each natural person who exercises control over the management of the company (CEO, Manager)

   **Provide proof of confirmation of shareholding:** Shareholding certificates (with organogram reflecting percentage shareholding), OR organogram of company structure reflecting percentage shareholding signed by director, OR confirmation of shareholding on a company letterhead signed by company secretary.

1.1. If the shareholder having 5% or more shareholding is a **Trust**, provide copies of the Trust Deed, LOA, IDs, death certificate (in the event of Founder, Trustee or beneficiary being deceased) and completed Annexure A and copy of ID or passport and proof of address (foreign nationals) for all beneficiaries, trustees and founder.

1.2. If the shareholder having 5% or more shareholding is a **Legal Person** (listed and unlisted company), provide the following: Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout and completed Annexure A and copy of ID or passport and proof of address (foreign nationals) for each director and each natural person who exercises control over the management of the company (if not appointed as director).

2. If the legal entity is a **TRUST**, complete the below for each trustee, each beneficiary and the founder of the Trust and all authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

   Provide a death certificate in the event of Founder, Trustee or beneficiary being deceased and updated LOA in the event of Trustee becomes deceased or resigns as Trustee. If the Trustee is a corporate Trustee represented by a representative, please provide documents as per point 2 in Annexure C, FICA Requirements for the corporate Trustee and provide documents for the representative.

2.1. If the Founder or Beneficiaries of the Trusts are **Legal Entities**, please provide documents as per point 2 in Annexure C, FICA Requirements.

3. If the legal entity is a **PARTNERSHIP** or a **CLOSE CORPORATION**, complete the below for every partner and person who exercises control over the partnership, member and authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

4. If the legal entity is an **OTHER LEGAL ENTITY** (Clubs, churches, unions, etc), complete the below for all members and authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

5. If any natural person is appointed as per discretionary mandate, complete the below for mandated person, and provide copy of ID or passport and proof of address (foreign nationals) for each.

6. If any natural person has power of attorney who is authorised to represent or act on behalf of the legal entity, complete the below for the person who holds power of attorney, and provide copy of ID or passport and proof of address (foreign nationals).

**Please complete the following for each beneficial owner/related party and each representative acting on behalf of the Institutional Investor/ Legal Entity:** *If you need to list more than 6 Persons, please copy page 9.

## NATURAL PERSON

**Type (Complete for each natural person)**

| Full Name(s) & Surname, and Physical Address | Date of Birth | Identification number / Passport number (if foreign national) | Country of Residence |
|---|---|---|---|
| 1. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

| | | | |
|---|---|---|---|
| 2. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

| | | | |
|---|---|---|---|
| 3. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

## NATURAL PERSON

**Type (Complete for each natural person)**

| Full Name(s) & Surname, and Physical Address | Date of Birth | Identification number / Passport number (if foreign national) | Country of Residence |
|---|---|---|---|
| 4. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

| | | | |
|---|---|---|---|
| 5. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

| | | | |
|---|---|---|---|
| 6. | | | |
| Physical Address: | | | |

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

# ANNEXURE B: HEDGE FUND TAX RESIDENCY SELF-CERTIFICATION
## LEGAL ENTITIES

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the FR Retail Hedge Fund Scheme and the FR QI Hedge Fund Scheme, both approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

**IMPORTANT INFORMATION**

1. Please note that this form must be completed if you are investing on behalf of an entity (i.e. a juristic person, not an individual).
2. Tax regulations require us to collect information about each investor's tax residency. Tax regulations refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information.
3. Please complete all relevant sections of this Annexure in order to process this investment.
4. Any correction changes to the application must be initialled by the investor.

## SECTION 1: ENTITY DETAILS

| | |
|---|---|
| FR Investor Number/ Client Account Number (if applicable) | |
| Registered Name of Legal Entity | |
| Registration Number | |

## SECTION 2: TAX RESIDENCY

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

| | |
|---|---|
| 2.1. Country in which organisation is resident for tax purposes | |
| 2.2. Tax Identification Number of your organisation* | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

- ☐ TIN not issued by jurisdiction; or
- ☐ TIN not required under domestic law; or
- ☐ Not required to register for tax; or
- ☐ Other

**Reason for no tax identification number**

## SECTION 3: FATCA CLASSIFICATION

3.1 Please select the appropriate classification (only one) for FATCA purposes from the list below, with reference to the tax residency stated above:
If your organisation is a Financial Institution[2], please specify which type:

- ☐ South African Financial Institution[7] or a Partner Jurisdiction Financial Institution[7] — Please provide GIIN No:
- ☐ Participating Foreign (ie. Non-US) Financial Institution[4] (in a non-IGA jurisdiction) — Please provide GIIN No:
- ☐ Non-Participating Foreign (ie. Non-US) Financial Institution[3]
- ☐ Financial Institution resident in the USA or in a US Territory[5] (Please complete point 2 below for US Tax Residents)
- ☐ Exempt Beneficial Owner[6]
- ☐ Deemed Compliant Foreign (ie. Non-US) Financial Institution[8] (besides those listed above)

If your organisation is not a Financial Institution[2], please specify the entity's FATCA status below:

- ☐ Active Non-Financial Foreign (ie. Non-US) Entity[9]
- ☐ Passive Non-Financial Foreign (ie. Non-US) Entity[10] (If you tick this box, you must also complete Section 5 for each of your Controlling Persons)

3.2 Complete this only if your organisation is a US Tax Resident

Specified US Person[1] Yes ☐ No ☐

## SECTION 4: COMMON REPORTING STANDARD (CRS) CLASSIFICATION

**Please tick <u>only one</u> box in this section with reference to the tax residency stated in 2.1 above**

- ☐ Entity which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation.
- ☐ Financial Institution[11] (this includes Non-Reporting Financial Institutions[16] such as a pension scheme, government entity, international organisation and other entities listed in Explanatory Note 16).
- ☐ A non-participating professionally managed Investment Entity. (If you tick this box, you must also complete Section 5 for each of your Controlling Persons).
- ☐ Active Non-Financial Entity[13] .
- ☐ Passive Non-Financial Entity[12] (If you tick this box, you must also complete Section 5 for each of your Controlling Persons).

## SECTION 5: SELF-CERTIFICATION FOR CONTROLLING PERSONS

**Complete this only if you have ticked the relevant box in section 3 or section 4:**

**(Section 3: Passive Non-Financial Foreign Entity[10] or Section 4: Passive Non-Financial Entity[12] or Section 4: A professionally managed Investment Entity[14] outside of a CRS Participating Jurisdiction[15])**

The term "Controlling Persons" means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Recommendations of the Financial Action Task Force.

| First Name & Surname / Registered Name and Physical Address & Postal Address | Country of Birth / Incorporation and Date of Birth / Registration | Identification number / Registration number / Social Security number | Tax Identification number* | Country(ies) of Tax Residence |
|---|---|---|---|---|
| 1. | | | | |
| Physical Address: | | | | |
| | | | | |
| Postal Address: | | | | |
| | | | | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

☐ TIN not issued by jurisdiction ☐ TIN not required under domestic law ☐ Not required to register for tax

| | | | | |
|---|---|---|---|---|
| 2. | | | | |
| Physical Address: | | | | |
| | | | | |
| Postal Address: | | | | |
| | | | | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

☐ TIN not issued by jurisdiction ☐ TIN not required under domestic law ☐ Not required to register for tax

| | | | | |
|---|---|---|---|---|
| 3. | | | | |
| Physical Address: | | | | |
| | | | | |
| Postal Address: | | | | |
| | | | | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

☐ TIN not issued by jurisdiction ☐ TIN not required under domestic law ☐ Not required to register for tax

| | | | | |
|---|---|---|---|---|
| 4. | | | | |
| Physical Address: | | | | |
| | | | | |
| Postal Address: | | | | |
| | | | | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

☐ TIN not issued by jurisdiction ☐ TIN not required under domestic law ☐ Not required to register for tax

| | | | | |
|---|---|---|---|---|
| 5. | | | | |
| Physical Address: | | | | |
| | | | | |
| Postal Address: | | | | |
| | | | | |

*If you are unable to provide a Tax Identification Number, please tick one of the following reasons below:

☐ TIN not issued by jurisdiction ☐ TIN not required under domestic law ☐ Not required to register for tax

## SECTION 6: DECLARATION

**Declaration**

I hereby declare that the information provided on this form, to the best of my knowledge, is accurate and complete.

**Authorised signatory/ies**

| | | |
|---|---|---|
| | | D D / M M / Y Y Y Y |
| **Full Name, surname and position** | **Signature** | Date signed |
| | | D D / M M / Y Y Y Y |
| **Full Name, surname and position** | **Signature** | Date signed |
| | | D D / M M / Y Y Y Y |
| **Full Name, surname and position** | **Signature** | Date signed |

**Classifications under FATCA**

**[1]Specified U.S. Person means a U.S. Person, other than:**

(i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; (v) any organisation exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code; (vii) any real estate investment trust as defined in 12 section 856 of the U.S. Internal Revenue Code; (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

The term **"U.S. Person**" means a U.S. citizen or resident individual, a partnership or corporation organised in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States. This subparagraph 1(ee) shall be interpreted in accordance with the U.S. Internal Revenue Code.

**[2]Financial Institution**

The term "Financial Institution" means a Custodial Institution[17], a Depository Institution[18], an Investment Entity[19], or Specified Insurance Company[20].

**[3]Non-Participating Financial Institution**

The term Non Participating Financial Institution means a financial institution that is located in a jurisdiction that does not have an intergovernmental agreement with the US (IRS)

**[4]Participating Foreign Financial Institution**

The term Participating FFI means a Financial Institution that has agreed to comply with the requirements of an FFI Agreement. including a Financial Institution described in a Model 2 IGA that has agreed to comply with the requirements of an FFI Agreement. The term Participating FFI also includes a qualified intermediary branch of a Reporting U.S. Financial Institution, unless such branch is a Reporting Model 1 FFI. For purposes of this definition, the term FFI Agreement means an agreement that sets forth the requirements for a Financial Institution to be treated as complying with the requirements of section 1471(b) of the U.S. Internal Revenue Code. In addition, for purposes of this definition, the term Model 2 IGA means an arrangement between the United States or the Treasury Department and a non-U.S. government or one or more agencies thereof to facilitate the implementation of FATCA through reporting by Financial Institutions directly to the IRS in accordance with the requirements of an FFI Agreement, supplemented by the exchange of information between such non-U.S. government or agency thereof and the IRS.

**[5]US Territory**

The term "U.S. Territory" means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the U.S. Virgin Islands.

**[6]Exempt beneficial owner**

These include Governmental Organisations, International Organisations or Central banks and South African Retirement Funds. Please find the complete definition of exempt beneficial owners in Annex II of the Inter-Governmental Agreement between the US and South Africa.

**[7]South African Financial Institution or Partner Jurisdiction Financial Institution**

a) The term "South African Financial Institution" means (i) any Financial Institution resident in South Africa, but excluding any branch of such Financial Institution that is located outside South Africa, and (ii) any branch of a Financial Institution not resident in South Africa, if such branch is located in South Africa.

b) The term "Partner Jurisdiction Financial Institution" means (i) any Financial Institution established in a Partner Jurisdiction, but excluding any branch of such Financial Institution that is located outside the Partner Jurisdiction, and (ii) any branch of a Financial Institution not established in the Partner Jurisdiction, if such branch is located in the Partner Jurisdiction.

**[8]Deemed Compliant FFI**

Entities classified as such in Anex II of the South Africa IGA, which includes Non-profit Organisations and Financial Institutions with a Local Client Base.

**[9]Active Non-Financial Foreign Entity**

An "Active NFFE" means any NFFE that meets any of the following criteria:

a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;

c) The NFFE is organised in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;

d) The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, country, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organisation, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;

e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;

g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;

h) The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

i) The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or

j) The NFFE meets all of the following requirements: i. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labor organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare; ii. It is exempt from income tax in its jurisdiction of residence; iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; iv. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and v. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereof. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is est.

**[10]Passive Non-Financial Foreign Entity**

A "Passive NFFE" means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.

**Classifications under CRS**

**[11] Financial Institutions**

The term "Financial Institution" means a Custodial Institution[17], a Depository Institution[18], an Investment Entity[19], or Specified Insurance Company[20].

**[12]Passive Non-Financial Entity (PNFE)**

A "Passive NFE" means any NFE that is not (i) an Active NFE, or (ii) an Investment Entity that is not a Participating Jurisdiction Financial Institution

**[13]Active Non-Financial Entity**

An "Active NFE" means any NFE that meets any of the following criteria:

a) Less than 50 percent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

b) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;

c) The NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;

d) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFE does not qualify for this status if the NFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

e) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;

f) The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;

g) The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

h) The NFE meets all of the following requirements:

i) It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labor organisation, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; ii. It is exempt from income tax in its jurisdiction of residence; iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; iv. The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and v. The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

**[14]Investment Entity**

The term "Investment Entity" means any Entity:

a) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
i. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
ii. individual and collective portfolio management; or
iii. otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or

b) the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity.

**[15]Participating Jurisdiction**

The term "Participating Jurisdiction" means a jurisdiction which has an agreement in place pursuant to which it will provide the information in accordance with the OECD Common Reporting Standard.

**[16]Non-Reporting Financial Institution**

The term "Non-Reporting Financial Institution" means any Financial Institution that is:

a) a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in;

b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International;

c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in subparagraphs B(1)(a) and (b), and is defined in domestic law as a Non-Reporting Financial Institution, provided that the status of such Entity as a Non-Reporting Financial Institution does not frustrate the purposes of the Common Reporting Standard;

d) an Exempt Collective Investment Vehicle; or

e) a trust established under the laws of a Reportable Jurisdiction to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

**[17]Custodial Institution**

The term "Custodial Institution" means any Entity that holds, as a substantial portion of its business, financial assets for the account of others. An entity holds financial assets for the account of others as a substantial portion of its business if the entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of: (i) the three-year period that ends on December 31 (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence.

**[18]Depository Institution**

The term "Depository Institution" means any Entity that accepts deposits in the ordinary course of a banking or similar business.

**[19]Investment Entity**

* The term "Investment Entity" means any Entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:

a) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;

b) individual and collective portfolio management; or

c) otherwise investing, administering, or managing funds or money on behalf of other persons.

This subparagraph* shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations.

**[20]Specified Insurance Company**

The term "Specified Insurance Company" means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

**If you are in any doubt concerning the completion of the Entity Self-Certification form or the Controlling Person Self-Certification form, please contact your tax advisor.**

## ANNEXURE C: HEDGE FUND FICA REQUIREMENTS

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the FR Retail Hedge Fund Scheme and the FR QI Hedge Fund Scheme, both approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

### FINANCIAL INTELLIGENCE CENTRE ACT NO 38 OF 2001 (FICA)

The Financial Intelligence Centre Act no 38 of 2001 (FICA), which came into effect on 30 June 2003, obligates FR to request certain mandatory information before entering into a financial transaction with the Client. Details of the information and documentation required from Clients are set out below. FR reserves the right to request additional supporting documents.

### 1. NATURAL PERSONS

**1.1. SA Citizen/Resident**

1.1.1. Copy of your ID Card back and front (South African citizens)

* South African citizens: a passport /driver's license containing the above information will only be accepted with a written reason for the unavailability of the ID document/Card

**1.2. Foreign Nationals**

1.2.1. Copy of valid passport if Foreign National

1.2.2. Proof of address (not older than 3 months)

**1.3. Legal Incapacity**

1.3.1. Document(s) set out above iro both parties (1.1.1 or 1.2.1)

1.3.2. Proof of authority to act (e.g. power of attorney, mandate, resolution, court order)

**1.4. Deceased Estate**

1.4.1. Death Certificate

1.4.2. Letter of Executorship/Letter of Authority

1.4.3. Copy of identity documents for persons acting on behalf of the estate

1.4.4. Utility bill (not older than 3 months) of each person acting on behalf of the estate

1.4.5. Proof of estate late bank account

1.4.6. Copy of the Will

1.4.7. J192 form

1.4.8. The DHA1663 form

**1.5. Third Party Representing another Individual/Power Attorney**

1.5.1. Copy of identity document of the third party/representative individual and the client

1.5.2. Proof of authority to act e.g. power of attorney, mandate, resolution or court order

**1.6. Minors**

1.6.1. Copy of the Birth Certificate (abridged or unabridged) / Identity document

1.6.2. Copy of the identity document for the Guardian/Parent/s

1.6.3. In the case of a guardian, provide documents confirming legal guardianship

1.6.4. Proof of Bank Details of the minor

### 2. LEGAL PERSONS

**2.1. SA Companies (listed and unlisted)**

2.1.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout

2.1.2. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)

2.1.3. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company

2.1.4. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

**2.2. SA Close Corporations**

2.2.1. Founding Statement or Certificate of Incorporation (CK1) or most recent CIPC printout

2.2.2. Amended Founding Statement (CK2) (if applicable for name change)

2.2.3. Proof of Authority to act on behalf of Closed Corporation (e.g. resolution)

2.2.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for natural person who owns controlling interest, all members AND each authorised person

**2.3. Foreign Companies (listed and unlisted)**

2.3.1. Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company

2.3.2. Certificate of Incorporation or foreign equivalent reflecting registration address of the company

2.3.3. Proof of Authority to act on behalf of the company (e.g. Board resolution)

2.3.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), and natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company (i.e. nominee shareholders of controlling shares)

2.3.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.3.6. Proof of address (not older than 3 months) for each foreign natural person

**2.4. Partnership**

2.4.1. Copy of Partnership Agreement
2.4.2. Proof of Authority to act on behalf of the partnership (e.g. Board resolution, court order)
2.4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership
2.4.4. Completed Annexure A for each partner, each authorised person and each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

## 3. TRUSTS

3.1. Copy of Letters of Authority reflecting name and registration number of the Trust stamped by the Master of the High Court
3.2. Copy of the Trust Deed
3.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals) for all founders, all beneficiaries, all Trustees and all persons acting on behalf of the Trust
3.4. Copy of Trustee resolution
3.5. Completed Annexure A for each Founder, Trustee, Beneficiary and all persons acting on behalf of the Trust
3.6. Provide death certificate in event of Founder, Trustee or beneficiary being deceased. Should a Trustee become deceased or resign, a new Letter of Authority must be obtained from the Master of the High Court or Endorsement letter stamped by the Master of High Court
3.7. If the Trustee is a corporate Trustee represented by a representative, please provide documents as per point 2

## 4. TESTAMENTARY TRUSTS

4.1. Letters of Authority issued by Master of High Court
4.2. Copy of Trustee resolution/power of attorney
4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all Trustees, Beneficiaries and authorised persons
4.4. Completed Annexure A for all Trustees, Beneficiaries and authorised persons and authorised person

## 5. RETIREMENT FUNDS/PROVIDENT FUNDS

5.1. Copy of FSCA document reflecting the funds registration number and fund name
5.2. Proof of Authority to act on behalf of Retirement Fund (e.g. resolution)
5.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons and all trustees
5.4. Completed Annexure A for each authorised person and each trustee
5.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the Retirement Fund, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the Retirement Fund

## 6. OTHER LEGAL ENTITIES

***(Unions, Clubs, Churches, NPOs, Stokvels, Associations, Schools, Universities, etc.)***

6.1. Founding document or Document of constitution or Registration certificate
6.2. List of all members
6.3. Resolution signed by all members appointing authorised signatories
6.4. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, members and management
6.5. Completed Annexure A for all members, management and authorised persons of the legal entity
6.6. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the legal entity, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the legal entity
6.7. Proof of Authority to act appointing 3rd party (e.g. mandate, resolution, power of attorney)

## 7. COLLECTIVE INVESTMENTS (FUNDS)

7.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
7.2. Copy of schemes FSCA approved Supplemental Deed or foreign equivalent
7.3. Proof of authority to act on behalf of CIS (e.g. Resolution)
7.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
7.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
7.6 AML Comfort letter confirming compliance

## 8. LINKED INVESTMENT SERVICE PROVIDER (LISP)

8.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
8.2. Copy of FSCA document reflecting the LISPS registration number
8.3. Proof of authority to act on behalf of LISP (e.g. Resolution)
8.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
8.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
8.6 AML Comfort letter confirming compliance

## DEFINITIONS

### DOMESTIC POLITICALLY EXPOSED PERSON (DPEP)

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| ***Domestic Politically Exposed Person (DPEP)*** | ***An individual who holds, including in an acting position for a period exceeding six months, or has held a prominent public function in South Africa, including that of:***<br>*a. the President or Deputy President;*<br>*b. a government minister or deputy minister;*<br>*c. the Premier of a province;*<br>*d. a member of the Executive Council of a province;*<br>*e. an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998;*<br>*f. a leader of a political party registered in terms of the Electoral Commission Act, 1996;*<br>*g. a member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003;*<br>*h. the head, accounting officer or chief financial officer of a national or provincial department or government component, as defined in section 1 of the Public Service Act, 1994;*<br>*i. the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 or a chief financial officer designated in terms of section 80 (2) of the Municipal Finance Management Act, 2003;*<br>*j. the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999;*<br>*k. the chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000;*<br>*l. a constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001;*<br>*m. an ambassador or high commissioner or other senior representative of a foreign government based in the Republic; or*<br>*n. an officer of the South African National Defence Force above the rank of major-general;*<br><br>***or holds, including in an acting position for a period exceeding six months, or has held the position of head, or other executive directly accountable to that head, of an international organisation.*** |

### FOREIGN POLITICALLY EXPOSED PERSON (FPEP)

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| ***Foreign Politically Exposed Person (FPEP)*** | ***An individual who holds, or has held, in any foreign country a prominent public function including that of a:***<br>*a. Head of State or head of a country or government;*<br>*b. member of a foreign royal family;*<br>*c. government minister or equivalent senior politician or leader of a party;*<br>*d. senior judicial official;*<br>*e. senior executive of a state-owned corporation; or*<br>*f. high-ranking member of the military.* |

### PROMINENT INFLUENTIAL PERSON (PIP)

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| ***Prominent Influential Person (PIP)*** | ***An individual who holds or has held at any time in the preceding 12 months, the position of:***<br>*a. chairperson of the board of directors;*<br>*b. chairperson of the audit committee;*<br>*c. executive officer; or*<br>*d. chief financial officer,*<br><br>***of a company that is defined in the Companies Act No. 71 of 2008 if the company provides goods or services to an organ of state.*** |

### FAMILY MEMBER AND KNOWN CLOSE ASSOCIATE OF A DPEP AND FPEP

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|---|---|
| ***Family member and known close associate of a DPEP and FPEP*** | ***Family members and known close associates include:***<br>*a. the spouse, civil partner, or life partner;*<br>*b. the previous spouse, civil partner, or life partner, if applicable;*<br>*c. children and stepchildren and their spouse, civil partner, or life partner;*<br>*d. parents;*<br>*e. sibling and step sibling and their spouse, civil partner, or life partner; and*<br>*f. individuals who are closely connected to a prominent person, either socially or professionally and who can conduct transactions on behalf of the DPEP/FPEP.* |