# HEDGE FUND INVESTOR DETAILS UPDATE FORM
## INDIVIDUALS / 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. This form is to be used by existing investors only.
2. Please read the **Investor Terms and Conditions of Engagement** that apply to this investment. This is available from your financial advisor, the Client Service Centre or at **www.fundrock.com/fundrock-south-africa.**
3. If you are a legal entity also complete Annexure A and B if not previously provided to FR or if there has been a change since your previous submission.
4. Please email required documents for processing to **hedge-instructions@fundrock.com**.
   - Marriage certificate/divorce decree if surname is to be changed ☐
5. **Monthly Liquidity Portfolios:** The cut-off time for an instruction submission is 10h00 on the last business day of the month, to enable processing for the first business day of the following month.
   **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.

## SECTION 1: CURRENT INVESTOR DETAILS

FR Investor Number / Client Account Number

Tax Number

Title

Surname / Entity Name (e.g. company or trust)

Name of Investor / Authorised contact person

ID or Passport number / Registration number

Telephone numbers Home Work

Mobile

Email address

Physical / Registered address

Postal Code

## SECTION 2: UPDATE INVESTOR DETAILS

**Information completed below will be updated on our system if different from that which we have on record.**

Title

Tax number

Country of tax residence County of residence

Surname / Entity Name (e.g. company or trust)

Name of Investor / Authorised contact person

ID or Passport number / Registration number

Please confirm which contact details you would like us to update: ☐ Home ☐ Work ☐ Mobile ☐ Email

Telephone numbers Home Work

Mobile

Email address

Please confirm which address you would like us to update: ☐ Residential ☐ Postal ☐ Both

Where no choice is made, all investor communications will be sent by email where an email address is supplied.

Physical / Registered address

Postal Code

## SECTION 3: ONLINE ACCESS

Your investment statements must be collected from the FR website, where you can view and/or download your statements.

Register for online access: ☐ Yes

## SECTION 4: BANKING / PAYMENT DETAILS

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.

**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.

Would you like this bank account change to apply to **all** your recurring debit orders: ☐ Yes ☐ No

If No, please indicate the unit portfolio/s to which the changes is to apply in the table below:

| Unit Trust Portfolio | | Account number |
|---|---|---|
| | or | |
| | or | |
| | or | |

**Bank account details**

Account Holder

Bank

Branch Name Branch code

Account Number

Account Type ☐ Current ☐ Savings ☐ Transmission

Date for change of bank details to become effective: D D / M M / Y Y Y Y

Please confirm debit order change: ☐ Increase ☐ Decrease ☐ Cancel

R

Effective date D D / M M / Y Y Y Y

Do you want to cancel the debit order? ☐ **Yes** ☐ **No**

Please note: The notice period to terminate the debit order authority is **three business days.**

**Regular Withdrawal Payments**

Please only complete this section if you would like to receive or cancel a regular withdrawal from / on your investment.
Please note that there might be tax consequences associated with withdrawals.

- **Monthly Liquidity Portfolios:** The cut-off time for an instruction submission is 10h00 on the last business day of the month, to enable processing for the first business day of the following month.
- **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.

**Payment Frequency** ☐ **Monthly** ☐ **Quarterly** ☐ **Bi-annually** ☐ **Annually**

**Start date** D D / M M / Y Y Y Y **Redemption date** D D

Participatory interests will be redeemed at the price calculated according to the requirements of the Collective Investment Schemes Control Act, 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

**Important:** I hereby acknowledge that should I change my bank account details above and provide a copy of a bank statement of no less than three months with this application as required, then my existing debit order bank account details shall be updated to the new bank account details as per above. This shall be subject to **three business days** notification period before the start of the new month.

| Portfolio Name | Account Number | Rand Amount (R) | Units | | Percentage | |
|---|---|---|---|---|---|---|
| | | | | Or | | % |
| | | | | Or | | % |
| | | | | | | % |
| | | | | | | % |
| TOTAL INVESTMENT AMOUNT | | | | | | % |

**Change Monthly Withdrawal**

| Account Number | Rand Amount (R) | to Rand Amount (R) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

Do you want to cancel the monthly withdrawal? ☐ **Yes** ☐ **No**

If I reverse an electronic collection instruction with my bank after units have been purchased on my behalf, the cancelled debit order will not constitute a valid contribution, and I may be held liable for any losses suffered.
If the withdrawal date falls on a weekend or public holiday, the withdrawal will be processed on the last business day before the weekend or public holiday.

Would you like this bank account change to apply to **all** your recurring withdrawal and income distribution payment instructions:
If No, please indicate the unit portfolio/s and transaction type to which the changes is to apply in the table below: ☐ **Yes** ☐ **No**

| Unit Trust Portfolio Name | Account Number | Recurring withdrawal ✓ | | | | Income distribution ✓ | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | Yes | | No | | Yes | | No | |
| | | Yes | | No | | Yes | | No | |
| | | Yes | | No | | Yes | | No | |

Please indicate how we should administer the income distributed from your unit trust portfolio/s in future.

| Unit Trust Portfolio Name | Account Number | Payout ✓ | | OR | Reinvest ✓ | |
|---|---|---|---|---|---|---|
| | | Payout | | | Reinvest | |
| | | Payout | | | Reinvest | |
| | | Payout | | | Reinvest | |

## SECTION 5: INVESTOR DECLARATION

1. I confirm that all information provided in this form is true and correct.
2. Where this form is signed in a representative capacity, I confirm that I have the necessary authority to do so.
3. I confirm that FR may accept instructions from any authorised third-party who has been authorised by me in writing.
4. I have read, understood and agree to the latest **Investor Terms and Conditions of Engagement** on the FR website **www.fundrock.com/fundrock-south-africa.**
5. Where signed in the capacity as legal guardian, I explicitly consent to the use of the minor's personal details contained herein.
6. FR will accept electronic signatures accompanied by a certificate or audit trail.
7. I 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.

**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 the FR website **www.fundrock.com/fundrock-south-africa.**

**Signature of investor(s) or legal guardian** _____ Date D D / M M / Y Y Y Y

**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

## FICA ANNEXURE

**IMPORTANT INFORMATION**

As an accountable institution, FR must comply with legislation. The new Financial Intelligence Centre Amendment Act of 2017 (FICA) introduced a risk-based approach to customer due diligence. This means that we must obtain and hold certain information and do a risk-rating on investors.

Without the required information and risk-rating we are not allowed to transact with you, which may mean that you will not be allowed to redeem your investment or add additional investments.

**Please complete section A below if you are an Individual Investor OR section B if you are an Institutional Investor/Legal Entity. You do not have to submit the FICA Risk rating information again if you have previously submitted it.**

## SECTION A - INDIVIDUAL INVESTOR

Are you a resident of South Africa? ☐ Yes ☐ No

If no, where are you resident? _____

Is your bank account domiciled in South Africa? ☐ Yes ☐ No

If no, where is your bank domiciled? _____

**OCCUPATION**

**Employment Status:**

Formally Employed ☐ Self-Employed ☐ Unemployed ☐

Retired/Pensioner ☐ Minor ☐

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) _____

**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)*

Salary ☐ Pension ☐ Annuity ☐ Other _____

**Prominent Influential Person or Politically Exposed Person**

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 _____

## SECTION B - INSTITUTIONAL INVESTOR/LEGAL ENTITY

**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) _____

## 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 8.

## 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

## ONLY COMPLETE IF YOU ARE A LEGAL ENTITY

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

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)

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 Indetification 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

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

**Authorised signatory**

| | | |
|---|---|---|
| | | 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. Third Party Representing another Individual/Power Attorney**

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

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

**1.5. Minors**

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

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

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

1.5.4. 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)

| | |
|---|---|
| ***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)

| | |
|---|---|
| ***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)

| | |
|---|---|
| ***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

| | |
|---|---|
| ***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.* |