

## THE SECURITIES INVESTMENT PLAN

### NEW BUSINESS APPLICATION FORM FOR LEGAL ENTITIES VERSION NUMBER 1.1

#### INVESTMENT PROCESS

<b>STEP 1</b> Complete the form and agree to the terms and conditions	<ul style="list-style-type: none"> <li>To ensure there is no delay in processing your investment, please complete the form accurately and ensure you understand the terms and conditions you are entering into.</li> <li>Depending on the investment type and/or product you may be required to complete and provide additional forms.</li> </ul>
<b>STEP 2</b> Send documents to Itransact via Email  <b>www.itransact.co.za</b>	<p>Email your documents to: <b>newbus@itransact.co.za</b></p> <p>If you experience difficulties transmitting your documents to us, please call us on 0861 468 383 during business hours and we will gladly assist you.</p> <p><b>Document Checklist for all persons acting on behalf of the legal entity</b></p> <p><input type="checkbox"/> Annexure A</p> <p><input type="checkbox"/> Copy of your bar coded South African ID, valid passport (if a foreign national)</p>
<b>STEP 3</b> Fulfilment	<ul style="list-style-type: none"> <li>We will acknowledge receipt of your documents and contact you if there are any outstanding requirements.</li> <li>Transactions will only be acted upon after confirmed receipt by the Administrator of a completed and signed investor mandate, investor FICA verification, relevant supporting documentation, and investment funds which have been cleared and made available for investment in the Administrators bank account.</li> <li>You will receive confirmation once your instruction has been processed.</li> <li>You will receive an email welcoming you to Itransact.</li> <li>You will automatically be provided with a secure Itransact online servicing account. New investors are requested to activate their online account by registering on our website within 3 business days. Subsequent products will automatically appear in your online account.</li> </ul>
<b>CUT OFF TIMES</b>	<ul style="list-style-type: none"> <li>Instructions received <b>before</b> 11h00 on a business day will start processing on that day.</li> <li>Instructions received <b>after</b> 11h00 on a business day will start processing on the next business day.</li> <li>Instructions received <b>on</b> a weekend or public holiday will start processing on the next business day.</li> </ul>

**SECTION 1: INVESTOR DETAILS**

Investor Type	SA Company <input type="checkbox"/>	Foreign Company <input type="checkbox"/>	CC <input type="checkbox"/>	Trust <input type="checkbox"/>	Partnership <input type="checkbox"/>
	Other <table border="1" style="display: inline-table; width: 100%; height: 1.2em; vertical-align: middle;"></table>				
Nature of Business	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Entity Name	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Trading Name	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Registration Number	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Income Tax Number	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Trading Address	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 90%; height: 1.2em;"></table>				Code <table border="1" style="width: 10%; height: 1.2em;"></table>
Tick if postal address is same as residential	<input type="checkbox"/>				
Postal Address	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 100%; height: 1.2em;"></table>				
	<table border="1" style="width: 90%; height: 1.2em;"></table>				Code <table border="1" style="width: 10%; height: 1.2em;"></table>
Telephone Number	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Cell Phone Number	<table border="1" style="width: 100%; height: 1.2em;"></table>				
Email Address	<table border="1" style="width: 100%; height: 1.2em;"></table>				

**Politically Exposed Persons**

Indicate if any authorised representative/s, ultimate beneficial owner/s or any shareholder/s of the legal entity is a foreign prominent public official or a domestic prominent influential person Yes ☐ No ☐

If yes, please specify:


## SECTION 2: FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

(The Foreign Account Tax Compliance Act (FATCA) is a United States federal law requiring United States persons (including those living outside the U.S.) to have yearly reported themselves and their non-U.S financial accounts to the Financial Crimes Enforcement Network (FINCEN), and requires all non-US (Foreign) Financial Institutions (FFI's) to search their records for suspected US persons for reporting their assets and identities to the US Treasury)

### Organisation Tax Residency Classification

**If your organisation is a Financial Institution, please specify:**

- South African Financial Institution or a Partner Jurisdiction Financial Institution ☐
- Participating Foreign Financial Institution (in non-intergovernmental agreement jurisdiction) ☐
- Non-Participating Foreign Financial Institution (non-intergovernmental agreement jurisdiction) ☐
- Financial Institution resident in the USA or in a US Territory ☐
- Exempt beneficial Owner (this includes a South African registered retirement scheme, etc) ☐
- Deemed Compliant Financial Institution (this includes Non-Profit organisations) ☐

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

- Active Non-Financial Entity ☐
- Passive Non-Financial Entity ☐

**If your organisation is a US tax resident and not a Specified US person, please specify:**

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

### Organisation's Classification under Common Reporting Standards (CRS)

**Select an option with reference to primary country of residence:**

- Financial Institution under CRS (includes pension fund schemes, government entity etc) ☐
- An investment entity located in a Nonparticipating Jurisdiction and managed by another Financial Institution ☐
- Active Non-Financial Entity which frequently trades on an established securities market or associated with and established securities marker or a corporation which is a related entity of such a corporation. ☐
- Active Non-Financial Entity-a Government Entity, a Central Bank or an International Organisation. ☐
- Active Non-Financial Entity, other than those listed above ☐
- Passive Non-Financial Entity. ☐

## Dividend Withholding Tax

If your organisation is exempt from DWT, please select the appropriate box to declare the reason for the exemption:

A company or close corporation registered in South Africa for tax purposes	<input type="checkbox"/>
A non-profit organisation (approved by SARS in terms of section 30(3) of the Income Tax Act)	<input type="checkbox"/>
A pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund registered in terms of the Pension Fund Act 1956.	<input type="checkbox"/>
A person contemplated in section 10(1)(t) of the Income Tax Act	<input type="checkbox"/>
A trust contemplated in section 37A of the Income Tax Act (e.g. mining rehabilitation trust)	<input type="checkbox"/>
Fidelity and Indemnity funds contemplated in section 10(1)(d)(iii) of the Income Tax Act	<input type="checkbox"/>
A small business funding as contemplated in section 10(1)(c) of the Income Tax Act	<input type="checkbox"/>
Entity is not exempt from DWT	<input type="checkbox"/>

## SECTION 3: METHOD OF COMMUNICATION & PRIVACY OF PERSONAL INFORMATION

### Communication

Please note that email will be used as the default method of communication by the administrator. All communication with the Administrator by the Investor must also be via electronic means, which includes email and telephonic communications using the contact details provided in the last section of this form.

### Protection of personal information

You acknowledge that Itransact requires your personal information, as defined in the Protection of Personal Information Act of 2013 ('POPIA'), and consent to Itransact processing such information to open and administer your investment accounts. In addition, you expressly consent that Itransact may verify and process your personal information (including your voice and or biometric data) for security purposes and so as to comply with its obligations in terms of legislation. Itransact may transmit your personal information to third-party service providers for the purposes of storing and maintaining that information. Where information is transmitted to offshore providers, Itransact has confirmed that sufficient legislation and agreements are in place to ensure the protection of that information. Where directed by your financial adviser, Itransact will transmit your information to third-party service providers appointed by your adviser. We will only use personal information about you, your beneficiaries, and dependants in line with the Itransact Privacy Policy. Please refer to the Privacy Policy on the website for information about your rights and obligation in relation to your personal information.

### Marketing

Do you consent to receive occasional marketing information relating to your investment from the administrator?

Yes ☐ No ☐

## SECTION 4: GENERAL INVESTMENT DETAILS

### Source of Funds

Capital ☐ Company Profit ☐ Donation ☐ Saving ☐  
 Investment ☐ Other ☐ (Please Specify below)

Nature of business

Intended purpose of business relationship

### Minimum Investment Amounts

Note that the minimum investment amounts may not cover acquiring one or more securities. This means you might have to wait for cash to accumulate to acquire a security. Please make sure you determine the price of a security by viewing the latest fund fact sheet before deciding how much money to invest.

**Recurring Investment** R150 (per security)

**Lump Sum Investment** of R1 000 (per security)

## SECTION 5: INVESTMENT DETAILS

**Note to Financial Services Provider/Advisor:** Please take note of the applicable FAIS license(s) below which are required to market Exchange Traded Products.

Type		JSE Code	Debit Order	Lump Sum
<b>NewFunds (ABSA)</b>				
New Gold	ETF	GLD	R <input type="text"/>	R <input type="text"/>
New Palladium	ETF	NGPLD	R <input type="text"/>	R <input type="text"/>
New Plat	ETF	NGPLT	R <input type="text"/>	R <input type="text"/>
<b>CORESHARES</b>				
Coeshares Total World	ETF	GLOBAL	R <input type="text"/>	R <input type="text"/>
Coeshares S&P 500	ETF	CSP500	R <input type="text"/>	R <input type="text"/>
Coeshares Global Dividend	ETF	GLODIV	R <input type="text"/>	R <input type="text"/>
Coeshares Global Property	ETF	GLPROP	R <input type="text"/>	R <input type="text"/>
Coeshares Top 50	ETF	CTOP50	R <input type="text"/>	R <input type="text"/>
Coeshares Dividend Aristocrats	ETF	DIVTRX	R <input type="text"/>	R <input type="text"/>
Coeshares Preftrax	ETF	PREFTX	R <input type="text"/>	R <input type="text"/>
Coeshares Property Income	ETF	CSPROP	R <input type="text"/>	R <input type="text"/>
Coeshares SciBeta	ETF	SMART	R <input type="text"/>	R <input type="text"/>
<b>FNB</b>				
FNB Top 40	ETF	FNBT40	R <input type="text"/>	R <input type="text"/>
FNB Midcap	ETF	FNBMID	R <input type="text"/>	R <input type="text"/>
FNB Inflation	ETF	FNBINF	R <input type="text"/>	R <input type="text"/>
FNB Global 1200 Equity	ETF	FNBEQF	R <input type="text"/>	R <input type="text"/>
FNB World Government Bond	ETF	FNBWGB	R <input type="text"/>	R <input type="text"/>
<b>SATRIX</b>				
Satrix 40	ETF	STX40	R <input type="text"/>	R <input type="text"/>
Satrix Capped All Share	ETF	STXCAP	R <input type="text"/>	R <input type="text"/>
Satrix DIVI	ETF	STXDIV	R <input type="text"/>	R <input type="text"/>
Satrix Equity Momentum	ETF	STXEQM	R <input type="text"/>	R <input type="text"/>
Satrix FINI	ETF	STXFIN	R <input type="text"/>	R <input type="text"/>
Satrix Global Aggregate Bond	ETF	STXGBD	R <input type="text"/>	R <input type="text"/>
Satrix Global Infrastructure Feeder	ETF	STXIFR	R <input type="text"/>	R <input type="text"/>
Satrix GOVI	ETF	STXGVI	R <input type="text"/>	R <input type="text"/>
Satrix Healthcare Innovation Feeder	ETF	STXHLT	R <input type="text"/>	R <input type="text"/>

	Type	JSE Code	Debit Order	Lump Sum
<b>SATRIX(continued)</b>				
Satrix ILBI	ETF	STXILB	R <input type="text"/>	R <input type="text"/>
Satrix ILBI	ETF	STXIFL	R <input type="text"/>	R <input type="text"/>
Satrix Inclusion & Diversity	ETF	STXID	R <input type="text"/>	R <input type="text"/>
Satrix INDI	ETF	STXIND	R <input type="text"/>	R <input type="text"/>
Satrix Low Volatility	ETF	STXLVL	R <input type="text"/>	R <input type="text"/>
Satrix Momentum	ETF	STXMMT	R <input type="text"/>	R <input type="text"/>
Satrix MSCI China	ETF	STXCHN	R <input type="text"/>	R <input type="text"/>
Satrix MSCI Emerging Markets	ETF	STXEMG	R <input type="text"/>	R <input type="text"/>
Satrix MSCI Emerging Markets ESG	ETF	STXEME	R <input type="text"/>	R <input type="text"/>
Satrix MSCI India Feeder	ETF	STXNDA	R <input type="text"/>	R <input type="text"/>
Satrix MSCI World	ETF	STXWDM	R <input type="text"/>	R <input type="text"/>
Satrix MSCI World ESG	ETF	STXESG	R <input type="text"/>	R <input type="text"/>
Satrix Multi Asset Passive Portfolios Solutions Growth	ETF	STXMAG	R <input type="text"/>	R <input type="text"/>
Satrix Multi Asset Passive Portfolios Solutions Protect	ETF	STXMAP	R <input type="text"/>	R <input type="text"/>
Satrix Nasdaq 100	ETF	STXNDQ	R <input type="text"/>	R <input type="text"/>
Satrix Property	ETF	STXPRO	R <input type="text"/>	R <input type="text"/>
Satrix Quality South Africa	ETF	STXQUA	R <input type="text"/>	R <input type="text"/>
Satrix RAFI	ETF	STXRAF	R <input type="text"/>	R <input type="text"/>
Satrix Reitway Global Property	ETF	STXGPR	R <input type="text"/>	R <input type="text"/>
Satrix RESI	ETF	STXRES	R <input type="text"/>	R <input type="text"/>
Satrix S&P 500	ETF	STX500	R <input type="text"/>	R <input type="text"/>
Satrix S&P GIVI South Africa Top 50	ETF	STXT50	R <input type="text"/>	R <input type="text"/>
Satrix S&P Namibia Bond	ETF	STXNAM	R <input type="text"/>	R <input type="text"/>
Satrix SA Bond	ETF	STXGOV	R <input type="text"/>	R <input type="text"/>
Satrix Shari'ah Top 40	ETF	STXSHA	R <input type="text"/>	R <input type="text"/>
Satrix Smart City Infrastructure Feeder	ETF	STXCTY	R <input type="text"/>	R <input type="text"/>
Satrix SWIX	ETF	STXSWX	R <input type="text"/>	R <input type="text"/>
Satrix TRACI (3 Months)	ETF	STXTRA	R <input type="text"/>	R <input type="text"/>
Satrix Value Equity	ETF	STXVEQ	R <input type="text"/>	R <input type="text"/>
Satrix Volatility Managed SA Defensive Equity	ETF	STXDEQ	R <input type="text"/>	R <input type="text"/>
Satrix Volatility Managed SA High Growth Equity	ETF	STXGEQ	R <input type="text"/>	R <input type="text"/>

	Type	JSE Code	Debit Order	Lump Sum
<b>SATRIX (continued)</b>				
Satrix Volatility Managed SA Moderate Equity	ETF	STXMEQ	R <input type="text"/>	R <input type="text"/>
<b>INVEST</b>				
Invest Global Government Bond	ETF	ETFGGB	R <input type="text"/>	R <input type="text"/>
Invest Global REIT Index Feeder	ETF	ETFGRE	R <input type="text"/>	R <input type="text"/>
Invest MSCI EM Asia	ETF	ETFEMA	R <input type="text"/>	R <input type="text"/>
Invest MSCI World	ETF	ETFWLD	R <input type="text"/>	R <input type="text"/>
Invest S&P 500	ETF	ETF500	R <input type="text"/>	R <input type="text"/>
Invest S&P 500 Info Tech	ETF	ETF5IT	R <input type="text"/>	R <input type="text"/>
Invest SA Bond	ETF	ETFBND	R <input type="text"/>	R <input type="text"/>
Invest SA Property	ETF	ETFSAP	R <input type="text"/>	R <input type="text"/>
Invest Swix 40	ETF	ETFSWX	R <input type="text"/>	R <input type="text"/>
Invest Palladium	ETF	ETFPLD	R <input type="text"/>	R <input type="text"/>
Invest Rhodium	ETF	ETFRHO	R <input type="text"/>	R <input type="text"/>
Invest Platinum	ETF	ETFPLT	R <input type="text"/>	R <input type="text"/>
Invest Top 40	ETF	ETFT40	R <input type="text"/>	R <input type="text"/>
Invest Gold	ETF	ETFGLD	R <input type="text"/>	R <input type="text"/>
<b>SYGNIA ITRIX</b>				
ITRIX Eurostoxx 50	ETF	SYGEU	R <input type="text"/>	R <input type="text"/>
ITRIX FTSE 100	ETF	SYGUK	R <input type="text"/>	R <input type="text"/>
ITRIX MSCI Japan	ETF	SYGJP	R <input type="text"/>	R <input type="text"/>
ITRIX MSCI USA	ETF	SYGUS	R <input type="text"/>	R <input type="text"/>
ITRIX MSCI World	ETF	SYGWD	R <input type="text"/>	R <input type="text"/>
ITRIX Top 40	ETF	SYGT40	R <input type="text"/>	R <input type="text"/>
ITRIX Global Property	ETF	SYGP	R <input type="text"/>	R <input type="text"/>
ITRIX S&P 500	ETF	SYG500	R <input type="text"/>	R <input type="text"/>
ITRIX SWIX	ETF	SYGSW4	R <input type="text"/>	R <input type="text"/>
ITRIX 4th Industrial Revolution Global Equity	ETF	SYG4IR	R <input type="text"/>	R <input type="text"/>
ITRIX S&P 1200 ESG	ETF	SYGESG	R <input type="text"/>	R <input type="text"/>
ITRIX Solactive Healthcare 150	ETF	SYGH	R <input type="text"/>	R <input type="text"/>
<b>OTHER</b>				
<input type="text"/>			R <input type="text"/>	R <input type="text"/>
<input type="text"/>			R <input type="text"/>	R <input type="text"/>
<input type="text"/>			R <input type="text"/>	R <input type="text"/>

## Method of Payment

### ☐ Debit Order

Debit Order Deduction Date      3<sup>rd</sup> of the Month ☐      15<sup>th</sup> of the Month ☐      25<sup>th</sup> of the Month ☐

Debit Order Deduction Intervals      Monthly ☐      Quarterly ☐

Debit Order Deduction Annual Increase      ☐ 0%      ☐ 5%      ☐ 10%      ☐ 15%      ☐ 20%

(Note that annual increases are limited to whole percentage increments only. No fractionalised percentage increments or monetary amounts will be accepted. Debit order amounts may be subject to a 40 day hold before securities are acquired)

### ☐ Once Off Electronic Collection by the Administrator (Lump Sums Only)

Please choose the date that the Administrator should collect your once off lump sum amount.

3<sup>rd</sup> of the Month ☐      15<sup>th</sup> of the Month ☐      25<sup>th</sup> of the Month ☐

Once off lump sum collection instructions must be received by the Administrator at least 5 Business Days prior to the chosen collection date. Instructions received after that period will be processed on the next sequential collection date. Note that each lump sum collection is limited to increments of R500 000 per collection. (Once off collection amounts may be subject to a 40 day hold before securities are acquired)

### ☐ Lump-sum Investment (Please take note of the restrictions regarding the Itransact bank account details below)

#### ITRANSACT BANK ACCOUNT DETAILS

For security reasons and to comply with the Financial Intelligence Crime Act (FICA) the Administrator must perform certain security checks with you as the investor before it may provide you with the bank details and investor reference to be used by you when making a lump sum investment.

**Once you have received the bank account details and reference number from the Administrator, and have made a payment, you are required to provide the Administrator with the proof of payment (copy of deposit slip or online payment confirmation) by submitting it via email to the email address stated on the first page of this application form. No transaction will be finalised without receiving the proof of deposit.**

## SECTION 6: INVESTOR BANK DETAILS

This bank account must be a South African bank account in the name of the investor and must not be older than three months.

### Bank Details

Name of Account Holder

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Name of Bank

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Account Number

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Branch Name

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Branch Code

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Account Type

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## Debit Order Bank Details

(Tick the box if debit order bank details are the same as the investor bank details above)

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Name of Account Holder


Name of Bank

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Account Number

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Branch Name

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Branch Code

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Account Type

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## Debit Order Authority

- 1 I/We hereby request, instruct and authorise Automated Outsourcing Services (Pty) Ltd, its successors or its assignees ("the Administrator") to draw against my/our account with the bank noted above (or any bank or branch to which I/we may transfer my/our account).
- 2 I/We understand that all such withdrawals from my/our bank account shall be treated as though they have been signed by me/us personally.
- 3 I/We agree to pay any bank charges and costs relating to the debit order authority, including debit order rejection fees.
- 4 I/We acknowledge that I/we may cancel this authority by giving the Administrator not less than 10 business days written notice.
- 5 I/We agree that receipt of this instruction by the Administrator shall be regarded as receipt thereof by my/our bank.
- 6 I/We acknowledge that in order to activate the debit order, the Administrator must receive the debit order authority at least 10 business days prior to the first debit order date.

**Please note that the debit order instruction will be accepted upon the signing of this authority by the bank account holder.**

\_\_\_\_\_  
**Signature of Authorised Representative**

Date (ddmmyyyy)

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Print Initials and Surname


## SECTION 8: INVESTOR DECLARATION

### General

The Investor, or where applicable, the Investor's authorised signatory, by appending their signature hereto, further states, declares, warrants, acknowledges, understands, confirms and consents that;

**(Select one option only)**

- ☐ A Financial Services Provider has been appointed to assist with this investment on a non-discretionary basis.
- ☐ No Financial Services Provider has been appointed and that all references made to such shall not be applicable for as long as no such appointment is made.
- ☐ A Financial Services Provider has been appointed to assist with this investment on a discretionary basis (in which case proof of authority must be provided by the investor to the Administrator)

And that;

1. The latest terms and conditions and the relevant investment media including the features of the Plan including, but not limited to, its underlying investments, fees, costs, disclosures and risks associated to investing in the Plan have been read and fully understood, and that the aforesaid information has been obtained by the Investor itself, and that it is the Investors responsibility to act upon this information, whether a Financial Service Provider has been appointed or not.
2. All statements provided by the Investor in this form are true and correct in every respect and that such statements, together with the Administrators investment confirmation, shall form the basis of the contract, which is to be entered into with the Administrator in terms of the Financial Advisory and Intermediaries Services Act (FAIS).

3. Where a Financial Services Provider has been appointed, that neither the Financial Services Provider nor any representative of the Financial Services Provider is an employee or agent of the Administrator and that the appointed Financial Services Provider acts as the Investor's agent and that neither the Administrator nor any other party appointed from time to time to administer the Plan can be held liable for any act or omission of the Financial Services Provider and/or any representative of the Financial Services Provider.
4. If the appointed Financial Services Provider and/or its representative's services are terminated, that it is the Investors responsibility to immediately inform the Administrator in writing of such termination where after the Administrator will cease payment of all fees, other than accrued fees, to the Financial Services Provider.
5. All instructions to the Administrator must be signed by the Investor or the Investor's duly authorised signatory (or guardian in the case of a minor) and may not be signed by the Financial Services Provider on behalf of the Investor, except where the Financial Services Provider is appointed on a discretionary basis and proof of authority has been provided by the Investor the Administrator.
6. It is the Investor's responsibility to ensure the receipt of any instruction and/or document by the Administrator.
7. There are certain requirements in terms of the Financial Intelligence Centre Act (FICA) which need to be complied with before this investment may be processed and that these requirements have been understood by the Investor and where applicable explained to the Investor by the Financial Services Provider.
8. The Investor is not a United States Person or a resident/national in any of the UN Sanctioned countries jurisdictions or is an entity or a member of an entity, that is owned or controlled by any person or entity that is resident, located, incorporated or registered in the United States or any UN Sanctioned country nor a US person as defined in the Foreign Account Tax Compliance Act of the USA. In terms of the Financial Intelligence Centre Act, 2001, the Insurer or the SP/ Representative will require a certified copy of the Investor's identity document/passport, appropriate proof of the Investor's current residential address, together with certain personal and financial information. The information required will vary depending on the nature of the investor. The investor further acknowledges that, the Administrator will not be permitted to remit the proceeds of any sale or distribution until acceptable identification is provided. The investor also acknowledges that the money which he is investing is not derived from the "proceeds of unlawful activities", as defined in the Prevention of Organised Crime Act (POCA)
9. To receiving reports from the Administrator on a regular basis.
10. Online services are provided to Investors on a continual basis where Investors apply for such services from the Administrator.
11. Where the value of the investments held under the Plan at any time is less than R1000, that the Administrator reserves the right to cancel the Plan without informing the Investor and/or where applicable, the appointed Financial Services Provider, and refund the amount to the Investors bank account recorded on this form.
12. Where the Investor has appointed a Financial Services Provider, the Investor agrees that the Financial Service Provider is able to access the Investors information continuously via electronic means made available by the Administrator.

### Fees and Charges (excluding VAT)

The Investor acknowledges and confirms the fees below and expressly instructs the administrator to deduct and pay the fees for the services rendered in connection with this investment.

#### 1. Financial advice fees

(Only applicable if you have appointed a financial advisor)

##### a) Initial financial advice fee

Taken upfront each time you invest according to the percentage below.

Lump sum  .  % ( with a maximum of 3%)

Debit order  .  % ( with a maximum of 1%)

##### b) Annual financial advice fee

Calculated as a percentage of the daily market value of the investment and deducted monthly.

.  % ( with a maximum of 1%)

#### 2. Annual administration fee

Calculated as a percentage of the daily market value of the investment and deducted monthly according to the table below.

Market Value of Investments	Rate per Annum
On the first R500 000	0.39%
On the next R500 000	0.30%
On the amount over R1 000 001	0.20%

If your product contains securities, a trading fee of 0.08% shall be charged on the value of all purchase and sale transactions.

## PRODUCT TERMS AND CONDITIONS

### Acceptance of product terms and conditions

By signing this application form, you acknowledge that you fully understand the latest terms and conditions associated to this product and the implications thereof. The terms and conditions are displayed separately from this application form and are available from (1) your financial advisor (2) from the Forms and Downloads section on the Administrator's website ([www.itransact.co.za](http://www.itransact.co.za)) or (3) by contacting the Administrator directly on the details available at the end of this application form.

#### Authorised Representative

Print Initials and Surname


Date (ddmmyyyy)

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#### Authorised Representative

Print Initials and Surname


Date (ddmmyyyy)

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## SECTION 9: FINANCIAL SERVICES PROVIDER DECLARATION (IF APPLICABLE)

### General

The Financial Services Provider ("FSP") that has been appointed by the Investor and through whom the application for this investment is being made, by appending their signature hereto, states, declares, warrants, acknowledges, understands, confirms and consents that;

1. The FSP and the Financial Advisor named in this application form is licensed (in the case of the FSP) and authorised (in the case of the Financial Advisor and/or Representative) to provide the relevant financial services in respect of the financial products to which this application relates.
2. The FSP and the Financial Advisor are "fit and proper", as required by the Financial Advisory and Intermediary Services Act (FAIS), to provide the relevant financial services in respect of the financial products to which the application relates.
3. The FSP/authorised representative of the FSP has read and understood the terms and conditions pertaining to this investment product and that the FSP shall be bound by these terms and conditions insofar as such terms and conditions affect the FSP.
4. The FSP warrants that all statements given by the FSP in this application form are true and correct in every respect.
5. The FSP/Financial Advisor shall not negotiate fees in respect of the Plan which are higher than the maximums stipulated in this application. The FSP has explained the latest terms and conditions and the relevant investment media including the features of the Plan including, but not limited to, its underlying investments, fees, costs, disclosures and risks associated to investing in the Plan, to the Investor, in terms of FAIS.
6. The FSP is the primary accountable institution in terms of the regulations to the Financial Intelligence Centre Act, 2001 ("FICA"), in respect of the Investor.
7. The FSP has established and verified the identity of the Investor, as required in terms of section 21 of FICA.
8. The FSP will keep records of information relating to the Investor as is required in terms of section 22 of FICA.
9. The FSP will provide the Administrator with any information and documentation requested by it in relation to the Investor, immediately on request.
10. The FSP shall be provided with access to the Investors information continuously via electronic means made available by the Administrator and warrants that the information may only and exclusively be disclosed to the Investor, or where applicable, the Investor's authorised signatory.

**Please Select Applicable Option:**

- The FSP is appointed: ☐ On a non-discretionary basis
- ☐ On a full discretionary basis, in which case proof of authority must be provided

\_\_\_\_\_  
**Signature of Authorised Financial Service Provider/Representative**

Date (ddmmyyyy)

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Print Initials and Surname

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**SECTION 10: FINANCIAL SERVICES PROVIDER DETAILS (IF APPLICABLE)**

Name of Financial Services Provider (The Company)

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Telephone

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Facsimile

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Email

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Tick the box if the details below are the same as the FSP details above ☐

Name of Financial Advisor/Representative

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Telephone

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Cell

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Facsimile

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Email

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**SECTION 11: IMPORTANT CONTACT DETAILS****Financial Advisor Support Centre**

Telephone 086 143 2383 | Fax 086 743 6959 | Email info@itransact.co.za

**Investor Support Centre**

Telephone 086 146 8383 | Fax 086 743 6959 | Email investor@itransact.co.za

**www.itransact.co.za**



## ACTING ON BEHALF OF AN INVESTOR

This form must be completed by each authorised signatory, each person acting on behalf of the investor and all controlling persons.

Each authorised representative of the legal entity must complete this form. In the event that more than one person is authorised to act on behalf of the investor, copies must be made of this section.

## IMPORTANT INFORMATION

This document must be sent together with the product application form to the Administrator by email at [newbus@itransact.co.za](mailto:newbus@itransact.co.za)

## SECTION 1: DETAILS OF THE PERSON ACTING ON BEHALF OF THE INVESTOR

Title	Mr	<input type="text"/>	Ms	<input type="text"/>	Mrs	<input type="text"/>	Dr	<input type="text"/>	Prof	<input type="text"/>	The Hon	<input type="text"/>
Name	<input type="text"/>											
Surname	<input type="text"/>											
	<input type="text"/>											
Date of Birth (ddmmyyy)	<input type="text"/>											
Identity/Passport Number	<input type="text"/>											
Nationality	<input type="text"/>											
Income Tax Number	<input type="text"/>											
Residential Address	<input type="text"/>											
	<input type="text"/>											
	<input type="text"/>											
	<input type="text"/>										Code	<input type="text"/>
Postal Address	<input type="text"/>											
	<input type="text"/>											
	<input type="text"/>											
	<input type="text"/>										Code	<input type="text"/>
Cell Phone Number	<input type="text"/>											
Other Contact Number	<input type="text"/>											
Email Address	<input type="text"/>											
	<input type="text"/>											

Are you registered tax pany in any country other than South Africa?

Yes ☐ No ☐

If yes, please specify:

Country of Tax Residence


Tax Identification Number


**DECLARATION**

I confirm that all information provided herein it true and correct and that I have read and understood the contents of this form.

I agree to notify the administrator immediately if information on this change.

\_\_\_\_\_

Date (ddmmyyyy) 

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**Signature**

Print Initials and Surname
