E T F
INVESTMENT PLAN

Form 3

THE ETF INVESTMENT PLAN™ – LUMP SUM ADDITIONAL INVESTMENT APPLICATION FORM

To be completed by clients who already have ETF Investment Plan™ accounts and who wish to make additional lump sum investments.

Please complete this application form and submit by fax to 011 388 6965 or E-mail etf.nf@aospartner.com. Please also submit your proof of payment . **NB: Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days for all cheques within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (ie: Lesotho, Namibia and Botswana). Therefore the funds will be available to be invested after the clearing period has lapsed.** Should you have any queries concerning this application form, please contact our Call Centre on: 086 1289 383 (International Dialling: +27 11 561 6890).

1. COMMUNICATION FROM THE ETF INVESTMENT PLAN™

Please send communication (including quarterly statement) via: Email ☐ Post ☐

(Please note, where no preference is indicated, email will be used for communication by Automated Outsourcing Services (Pty) Ltd ("the Administrator"))

2. INVESTOR DETAILS

ETF Investment Plan™ Client No.:

Title: First Names:

Surname / Legal Entity Name:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

3. INVESTMENT DETAILS

Source of Funds: Salary ☐ Policy ☐ Donation ☐ Gift ☐ Savings ☐ Investment ☐ Inheritance ☐

Other (Please specify):

LUMP SUM INVESTMENT

Total lump sum investment amount (<u>minimum single investment: R1000 per security</u>) R

Split over each security as follows:

NewGold:	R	NewRand:	R
eRAFI™	R	NewSA	R
Shari'ah Top 40:	R	eRafi™ Industrial:	R
eRafi™ Resource:	R		
eRafi™ Financial:	R		

Distribution Instruction*: ☐ Re-invest ☐ Pay out

***NB: All distributions less than R100.00, per portfolio, will automatically be re-invested.**
****NB: To ensure Shari'ah compliance relating to investments in the Shari'ah Top 40 ETF, investors need to donate 5% of any distributions declared to a charity of their choice whether the participant elects to reinvest these distributions or not.**

*****NB: The Shari'ah Top 40 ETF is exempt from earning interest**

Electronic internet transfers may take up to 2 days to appear in our bank account. Securities may only be traded upon confirmed receipt of documentation and funds are reflected in the relevant bank account. Please include your proof of payment with this application form (deposit slip; electronic payment confirmation)

NB: Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days for all cheques within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (ie: Lesotho, Namibia and Botswana). Therefore the funds will be available to be invested after the clearing period has lapsed.

Lump sum payments should be made to:

IIC – NEW ETF INFLOW A/C

Bank:	ABSA Bank
Branch:	Randburg
Branch Code:	505-705
Account No.:	40-7364-5322

4. FEE SCHEDULE AS FROM 1 APRIL 2010

Annual administration fee: (calculated daily and deducted quarterly)

Total Investment Per Fund	Fee
R0 to R100 000	0,80%
R100 000 to R250 000	0,75%
R250 000 to R1 000 000	0,70%
R1 000 000 to R3 000 000	0,50%
R3 000 000 or more	0,45%

Transaction Fees

Debit order fee: R3.50.
Stock brokerage fees: 0.10% (buying and selling).
Nominal Strate and Investor Protection levies will also be charged.
Where a financial adviser is used, commissions will be charged (as scheduled in Section 8).
All fees quoted are exclusive of VAT. VAT will be levied where applicable.

5. INVESTOR DECLARATION

(This declaration must be signed by all investors).

The Investor, or where applicable, his authorized signatory, by appending his signature hereto, states and declares that he/she has read and understood the terms and conditions pertaining to this investment product and the investment media selected; warrants that all statements given by him in the application form are true and correct in every respect and that such statements, together with the Investment Confirmation, shall form the basis of the contract, which is to be entered into with Automated Outsourcing Services (Pty) Ltd, as well as the contract between the Investor and the Financial Service Provider/ Representative.

The Investor acknowledges that he/she is aware of and understands the fees and commissions applicable to this investment, and the risks associated with the investment choice.

The investor agrees that the responsibility to assure receipt of any instruction by the Administrator via fax or e-mail remains the responsibility of the investor.

Signed at

Signature of Investor (or duly authorised person/s where applicable) **Date (ccyy-mm-dd)**

Signature of Contact Person or Legal Guardian (if applicable) **Date (ccyy-mm-dd)**

6. FINANCIAL SERVICE PROVIDER (If applicable)

(If you are not using a Financial Adviser, this section of the application form does not need to be completed)

Name of Financial Service Provider / Brokerage:

Financial Service Provider / Brokerage Code:

Name of Representative:

Representative Code:

Branch Name: Branch Code:

Trading Address:

Postal Code:

Postal Address:

Postal Code:

Office Tel No.: E-mail Address:

Fax No.: Cellular No.:

Financial Service Provider Commission:

Initial Upfront Commission on investment (Max 3%)

Annual Service Fee (Max 1% p.a.)

FINANCIAL SERVICE PROVIDER DECLARATION (If applicable)

The Financial Service Provider / Representative, by appending his signature hereto, states and declares that he/she has read and understood the terms and conditions pertaining to this investment product and the investment media selected; warrants that all statements given by him in the application form are true and correct in every respect and that such statements, together with the Investment Confirmation, shall form the basis of the contract, which is to be entered into, between the Investor, Automated Outsourcing Services (Pty) Ltd, as well as the contract between the Investor and the Financial Service Provider / Representative.
The Financial Service Provider / Representative further acknowledges and certifies that he/she has personally explained all the features of the product to the Investor.
The Financial Service Provider / Representative declares and confirms in terms of the Financial Intelligence Centre Act, No 38 of 2001 (FICA) that:

- he/she has taken all reasonable steps to establish the identity of the Investor before entering into a business relationship with him, or concluding a single transaction with him.
- he/she has verified the client information in accordance with the requirements set out in Section 21 of the FICA.
- he/she has obtained copies of the Investor's identification document and any other verification documentation required in terms of Section 22 of FICA, and is keeping record of the required documents.

The Financial Service Provider / Representative acknowledges that he/she has personally explained all the fees and commissions including all the risks associated with the investment choice, to the client.

Signed at

Signature of authorised Financial Service Provider / Representative **Date (ccyy-mm-dd)**

7. CONTACT DETAILS

The ETF Investment Plan™

Contact Details		Postal Address	Physical Address
Contact Centre : Fax: Email: Website:	086 128 9383 +27 (011) 388 6965 etf.nf@aospartner.com www.absacapitaletfs.com	PO Box 4769 Randburg 2125	15 Philips Street Randburg

FICA Documentation Checklist

Due Diligence Requirements – New Applicants must send the following applicable FICA documents
Together with a fully completed New Business Application form.
Additional or updated documentation may be requested in certain circumstances.
Please ensure that the information provided on the FICA documentation is clear and certified if a copy.
All FICA documents must be less than 3 months old except for income tax forms / property insurance policy schedules.
If a Financial Service Provider (FSP) / Representative is utilised, a certified copy of the FSP license is required.

Individual	Trust
Identification Clear copy of one of the following: • Current valid passport • National identity card or document • Armed Forces identity card **Confirmation of address** Clear copy of one of the following, confirming Name and Address: • A utility bill • A council tax bill / assessment • An income tax form / extract [**NB**: a printout off e-filing is not acceptable proof of residence] • A property insurance policy schedule • A most recent lease / rental agreement • Affidavit (**NB**: must be declared by the investor and not a third party). **Related due diligence** • Proof of South African Banking details – either: - Cancelled Cheque or Bank Statement (no internet or credit card statement accepted) - A letter from Bank confirming banking details • Proof of Income Tax Number	**Identification** • Trustees – as per individual requirements, or company requirements for corporate trustees • Extract of Trust Deed pages showing name of Trust, parties to the Trust and signature pages • Letter of Authority from Master (SA Trust) or Foreign Regulator (Foreign Trusts) to Trustees **Confirmation of address** • Trust – as per individual requirements • Trustees – as per individual requirements **Related due diligence** • Authorised signatory list including specimen signatures • Proof of Trust banking details – as per individual requirements • Proof of VAT registration (if applicable) • Proof of Income Tax Number
Investing in Name of Minor	**Investor Clubs and Stokvels**
• Minor – Certified copy of birth certificate • Legal Guardian – as per individual requirements	• Copy of constitution / founding document • Copy of register of participants • Letter electing and authorising person to act on behalf of the club / stokvels • Representative – as per individual requirements • Administrator reserves the right to request FICA documents for all participants **Related due diligence** • Authorised signatory list including specimen signatures • Proof of Club and Stokvel banking details – as per individual requirements
Company	**Partnership**

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Identification

Certificate of Incorporation (CM1, CM22 and CM29)
Board resolution authorising the investment (and / or approval to act as trustee if a corporate trustee)
Directors – as per individual requirements
All shareholders holding 25% or more of voting rights at a general meeting – as per individual requirements

Confirmation of address

Company – CM1, CM22 and CM29
Directors – as per individual requirements
Name(s) and address(es) of all directors
All shareholders holding 25% or more of voting rights at a general meeting – as per individual requirements

Related due diligence

Authorised signatory list including specimen signatures
Proof of Banking details – as per individual requirements
Proof of VAT registration (if applicable)
Proof of Income Tax Number

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<td>
Identification

Latest Annual Reports and Accounts
Resolution of the partners to invest
All Partners – as per individual requirements

Confirmation of address

All Partners – as per individual requirements

Related due diligence

Authorised signatory list including specimen signatures
Proof of Banking details – as per individual requirements
Proof of VAT registration (if applicable)
Proof of Income Tax Number

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<td>Closed Corporations</td>
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<td>
Identification

Founding Statement and Certificate of Incorporation
Resolution of the members to invest
Members – as per individual requirements

Confirmation of address

Close Corporation – CK1 and CK2
Members – as per individual requirements

Related due diligence

Proof of Banking details – as per individual requirements
Proof of VAT registration (if applicable)
Proof of Income Tax Number

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<td colspan="2">Source of funds (the proceeds to be invested need to have been accumulated and invested legitimately):
- Declaration on the application advising how the funds have legitimately arisen (from which legitimate activity, event or circumstances)</td>
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