E T F

INVESTMENT PLAN

Form 8

THE ETF INVESTMENT PLAN™ – TRANSFER APPLICATION FORM

To be completed when transferring ETF Investment Plan™ securities between two investors already registered in the ETF Investment Plan™. A new business application form needs to be completed if either of the parties are not registered in the ETF Investment Plan™

Please complete this application form and submit by fax to 011 388 6965 or E-mail etf.nf@aospartner.com. Should you have any queries concerning this application form, please contact our Call Centre on: 086 1289 383 (International Dialling: +27 11 561 6890).

COMMUNICATION WITH THE ETF INVESTMENT PLAN™

Please send all 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"))

1. INVESTOR DETAILS

ETF Investment Plan™ Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

2. TRANSFER DETAILS

I/We hereby request the Administrator to transfer securities from my/our account as follows:

From Portfolio No.	Security	Rand Amount	Or Units	Or Percentage	To Client No.	To Portfolio No.

Please Note:
- **The transfer will only be effected if all relevant FICA documentation has been received.**
- **The client must initial all amendments made to the Transfer Form.**
- **If the transfer to investor does not have an existing ETF Investment Plan™ client / portfolio number then a ETF Investment Plan™ – New Business Application Form needs to be completed in addition to this Transfer Form.**
- **If more than 5 portfolio transfers are required, please complete an additional Transfer Form.**
- **There is a 40 day holding period on securities bought with the most recent debit order.**

3. TRANSFER TO INVESTOR DETAILS (Must be existing ETF Investment Plan™ Client)

To be completed for each transfer to client number entered above

Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

To be completed for each transfer to client number entered above

Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

To be completed for each transfer to client number entered above

Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

To be completed for each transfer to client number entered above

Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: Office Tel. No.:

Fax No.: Cellular No.:

E-mail Address:

To be completed for each transfer to client number entered above

Client No.:

Title: First Names:

Surname / Registered Name:

Identity / Passport No.: Date of birth:

Home Tel No.: | Office Tel. No.:

Fax No.: | Cellular No.:

E-mail Address:

4. FEE SCHEDULE 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 authorised 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 transfer 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. 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

<u>FICA Documentation Checklist</u>

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 <u>less than 3 months old</u> 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

Identification

<u>Clear copy of one of the following:</u>

- Current valid passport
- National identity card or document
- Armed Forces identity card

Confirmation of address

<u>Clear copy of one of the following, confirming Name and Address:</u>

- A utility bill
- A council tax bill / assessment
- An income tax form / extract [<u>**NB**</u>: a printout off e-filing is not acceptable proof of residence]
- A property insurance policy schedule
- A most recent lease / rental agreement
- Affidavit (<u>**NB**</u>: 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

Trust

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

- Minor – Certified copy of birth certificate
- Legal Guardian – as per individual requirements

Investor Clubs and Stokvels

- 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

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

Partnership

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

Closed Corporations

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
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)	