

## Unit Trusts Investor Details Update Form

Please send the completed form to [UTinstructions@sanlaminvestmentsnamibia.com](mailto:UTinstructions@sanlaminvestmentsnamibia.com) or fax it to 061 294 7524.

If you have any questions, contact us on 061 294 7417 or email [collective@sanlam.com.na](mailto:collective@sanlam.com.na)

### Important information

- Sections 1, 2 and 12 are compulsory. Please complete the other sections only where applicable.
- We will only make the requested changes once the form has been completed, dated and signed by the investor and / or authorized signatories and we have received all of the necessary supporting documents. This includes **verified bank account details, Financial Intelligence Act (FIA) 13 of 2012 requirements**, if applicable.
- Please initial any changes made on this form.
- Any writing/instruction outside of the allocated fields will not be processed.
- If you are acting on behalf of someone else (e.g. a third party or a minor), please complete your details in Annexure A.

### 1. Investor details

#### 1.1 Individuals (all fields are compulsory)

Investor code:

Title:    Other (please specify): \_\_\_\_\_

Surname: \_\_\_\_\_

Full name(s): \_\_\_\_\_

ID / passport number / entity registration number:

Date of birth:

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Passport expiry date:

(if applicable) D D M M Y Y Y Y

Country of birth: \_\_\_\_\_ Occupation: \_\_\_\_\_

Are you a staff member within the Sanlam Group?   If yes, provide your pay code number

#### 1.2 Other legal entities (all fields are compulsory)

Registered name legal entity: \_\_\_\_\_

Entity registration number:

### 2. Tax status of investor

Please specify any other foreign citizenship: \_\_\_\_\_

Foreign ID number: \_\_\_\_\_

Foreign Passport number: \_\_\_\_\_

Foreign passport expiry date: \_\_\_\_\_

Primary country of residence for tax purposes: \_\_\_\_\_

Income tax registration number:

Are you a registered tax payer of any country other than your primary country of residence?

If 'Yes' please complete the information below:

#### Country/Countries of tax residence

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

#### Tax Reference number(s)



### 3. Change of contact details

#### 3.1 Individuals

Physical address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Postal address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Country of residence for tax purposes: \_\_\_\_\_

Telephone (h): \_\_\_\_\_ Telephone (w): \_\_\_\_\_

Cell: \_\_\_\_\_ Fax: \_\_\_\_\_

Email address: \_\_\_\_\_

#### 3.2 Other legal entities

The following document must accompany a change of business address:

- Proof of address (not older than 6 months) such as a recent utility bill.

Business address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Postal address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Title, full names and surname of new contact person: \_\_\_\_\_

Identity or passport number:

If there is no ID number, please provide another form of identity number as an alternative.

Date of birth:

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Passport expiry date:

(if applicable)

D D M M Y Y Y Y

Country of birth: \_\_\_\_\_

Telephone (h): \_\_\_\_\_ Telephone (w): \_\_\_\_\_

Cell: \_\_\_\_\_ Fax: \_\_\_\_\_

Email address: \_\_\_\_\_

#### 4. Change of name (if applicable)

The following documents must accompany a change of name instruction:

- A copy of your identity document (ID). Please ensure that we receive a clear copy of the back and front of the ID.
- A copy of your marriage certificate, if applicable.
- A copy of the certificate of name change or any other legal supporting documents, if applicable.

Previous full name:

Surname / legal entity name:

\_\_\_\_\_

Full name(s):

\_\_\_\_\_

New full name:

Surname / legal entity name:

\_\_\_\_\_

Full name(s):

\_\_\_\_\_

#### 5. Change of communication preference (if applicable)

You will receive a quarterly statement from us, via email or post, depending on your communication preference. This and other important information will also be available online via our secure services site at [www.sanlam.com.na](http://www.sanlam.com.na)

Note:

- We only send sms notification for certain transactions.
- All standard business correspondence (e.g. statements, letters) will be in English.

Send my statements / correspondence to me by:  Email  Post

Do you want to receive sms notifications from us when you transact on your account?

Note: If no preference is selected and no email is provided, the default method of communication will be post.



## 6. Change of banking details

Please supply us with proof of new bank details (e.g. cancelled cheque, or a copy of your bank statement not older than 3 months).

- If the new bank account holder is a third party, the following documents must accompany this form:
  - **Individuals:** A copy of the third party's identity document plus proof of banking details (cancelled cheque or a copy of a bank statement, not older than 3 months).
  - **Non-individuals:** A letter from the legal entity stating the list of authorised signatories and proof of banking details (cancelled cheque or a copy of a bank statement, not older than 3 months).

Name of account holder: \_\_\_\_\_

Entity registration / identity / passport number (compulsory):

If there is no ID number, please provide another form of identity number as an alternative.

Date of birth of bank account holder:                      Passport expiry date:                      (if applicable)

Bank name: \_\_\_\_\_

Bank account number:

Branch name: \_\_\_\_\_

**Type of account:**  
 Current  Savings  Transmission  
Branch code (6-digit):

Reference Number (9 digit USN Smart Card number):  Only applicable to Nampost Clients

Please indicate which transaction type this new bank account can be used for:

- Debit order:  Yes  No
- Income distribution payment:  Yes  No (No payments to third parties allowed)
- Regular withdrawal:  Yes  No (No payments to third parties allowed)

I instruct and authorise Sanlam or its agents to draw direct debits against my bank account as per my instruction.

Signature of bank account holder / authorised signatory: \_\_\_\_\_

Date:

Second signature: \_\_\_\_\_  
(if applicable)

Date:

## 7. Change of debit order (if applicable)

- Please specify the fund(s) you would like to invest in, the current investment amount and how much you would like to invest going forward.
- Fund minimums apply (see our Minimum Disclosure Documents (fund fact sheets)).
- If your withdrawal date occurs on a non-business day, you will receive the next business day's price.
- If it is too late to cancel or change the debit order on the date you have requested, we will cancel or change the debit order on the next available business day.
- The first annual increase in the investment amount will be twelve months from the change instruction date, if not specified.

7.1 Cancel my existing debit order(s):  Yes  No

Unit trust fund(s)	Class	Cancellation date
_____	_____	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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## 7.2 Change my existing order(s):

\* If you do not specify a fund class, your investment will be allocated to a default class

Unit trust fund(s)	Class*	Current debit order amount (N\$)	New debit order amount (N\$)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Please deduct the above amended monthly debit order amount(s) on the   day of each month starting

Annual increase: \_\_\_\_\_ % Annual increase date:

## 8. Change my income distribution (only if applicable)

Unit trust fund(s)	Class	Income distribution (indicate with an X)	
		Reinvest	Payout
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>

- Income payment(s) will only be paid out to a client’s bank account if the investment transactions (e.g. debit orders and deposits) used to purchase units have been cleared by the bankers on the income reinvestment date. If the units have not cleared, income payment(s) will automatically be reinvested.
- If you select “pay out” above, please also complete section 6. The funds will then be paid into the bank account specified in section 6, with the exception of third party payments which are not allowed.

## 9. Cash flow plans (regular withdrawals and switches) (only if applicable)

### 9.1. Regular monthly withdrawals (sell)

Cancel my existing withdrawal

or

Schedule the following monthly withdrawals from my investment until I cancel the instruction on this form or my funds are depleted.

Sell the units at the price ruling on the   date on each month starting

Unit trust fund(s)	Class	Amount(N\$)
_____	_____	_____
_____	_____	_____
_____	_____	_____

- We will make payments into the bank account specified in section 6.
- We are unable to make payments into third party accounts
- Can only be between the 1<sup>st</sup> and 28<sup>th</sup> day of each month. Please take weekends and public holidays into consideration in your choice of withdrawal date.
- Proceeds will only be available in your bank account 2-3 business days (unless otherwise contracted on an individual basis) after the withdrawal instruction is processed.
- No funds may be withdrawn if the funds have not been cleared by the bank (for investments and once-off debit orders, this will take 15 calendar days; for recurring debit orders, this will take 28 calendar days).
- If your withdrawal date occurs on a non-business day, you will receive the next business day’s price.



## 9.2 Regular monthly switch

Cancel my existing switch

or

Schedule the following monthly withdrawals from my investment until I cancel the instruction on this form or my funds are depleted.

Switch the regular amount below at the price ruling on the   or each month starting

From:

Unit trust fund and class

Total monthly amount (N\$)

To:

Unit trust fund(s) and classes:

Amount (N\$)

or %

<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

- Fund minimums apply to the switch-in amounts.
- Please review the **Minimum Disclosure Documents** (fund fact sheets) for the relevant fund minimums and applicable fees.
- You may be liable for any difference in initial fees when switching between a money-market type fund and equity-type fund, or from any fund where the initial fee is lower.
- If no class is specified, the switch will be allocated to a default class.
- If your switch date occurs on a non-business day, you will receive the next business day's price.
- No funds may be switched if the funds have not been cleared by the bank (for investments and once-off debit orders, this will take 15 calendar days; for recurring debit orders, this will take 28 calendar days). Please take this into consideration in your choice of your regular switch inception date.

## 10. Broker / Sanlam financial adviser details (if applicable)

Surname:

Full names(s):  Code:

ID number:  Biblife code (if applicable):

Contact telephone number:

Email address:

### Commission instruction:

I wish to appoint the broker / financial adviser whose details appear above as my preferred intermediary. I agree to pay a negotiable initial advice fee (exclusive of VAT), applied to each contribution and deducted before the investment is made:

Pay the full initial advice fee applicable (to the maximum explained in the **Minimum Disclosure Documents** (fund fact sheets))

Pay part of the initial advice fee \_\_\_\_\_ %

No initial advice fee

Please note that this initial advice fee excludes the manager's initial fee as explained in the Minimum Disclosure Documents (fund fact sheets).

Signature: \_\_\_\_\_

Signature of investor / authorised signatory/(ies)

### 10.1 Preferred broker / financial adviser appointment

I confirm that I wish to appoint the above broker / financial adviser as my preferred financial intermediary on all my Sanlam unit trust funds. All future commission and trailer fees (if applicable) must be paid to this newly-appointed broker / financial adviser until further notice.

I am aware that the financial intermediary, who previously introduced me to Sanlam unit trusts, will now be replaced with this new appointment. I also understand that the above appointed (preferred) new broker / financial adviser will now receive the commission on the recurring contribution(s), ad hoc investments, trailer fees (if applicable) that was previously paid.

Signature: \_\_\_\_\_

Signature of investor / authorised signatory/(ies)



## 10.2 Declaration by broker / Sanlam financial adviser

### Sanlam financial adviser:

#### FIA declaration

I confirm that the investor recorded in this application, or the person acting on their behalf, confirmed his / her FIA document. Copies of these documents are attached.

\_\_\_\_\_  
Signature of Sanlam financial adviser

### Broker:

#### FIA declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (if applicable). I have verified their identity in line with the requirements of the Financial Intelligence Act (No 13 of 2012) ("FIA"), and any legislation, regulations or guidelines related to it.

I further confirm that I will keep record of the verification documents as required and that I will make available copies of these documents and details of the verification procedures followed, to Sanlam Namibia Trust Managers Ltd.

\_\_\_\_\_  
Signature of broker

## 11. Terms and conditions

### 11.1 About unit trusts

- When you invest in a unit trust (also called a collective investment scheme), your money is pooled with the money of other investors. This pool of money is used to buy a portfolio of assets, such as shares (equities), bonds or listed property. As an investor, the value of the units you own is calculated by taking the number of units you own and multiplying them by the latest ruling price per unit. Forward pricing is used. Details of what each fund invests in, as well as its risk profile, are specified in the **Minimum Disclosure Documents** (fund fact sheets).
- The price per unit (excluding money-market type funds) goes up and down according to the value of the underlying assets in the relevant portfolio. Neither your capital nor the return of your investment is guaranteed for any unit trust fund investment. For information on unit trusts and how they work, along with our full range of funds and the relevant **Minimum Disclosure Documents** (fund fact sheets), please visit our website at [www.sanlam.com.na](http://www.sanlam.com.na) or alternatively you can call us on 061 294 7417.
- When you complete this form, you apply to buy units in the funds of your choice in line with the Trust Deed and mandate of the relevant funds. The fund fact sheets explain how each fund invests and what applicable fees will be charged.
- Unit trusts are generally medium to long-term investments. Past performance is not necessarily a guide to future performance. Unit trusts are traded at ruling prices and may engage in borrowing and scrip lending. Unit trust prices are calculated on a net asset value basis, which is the total value of all assets in the portfolio, including any income accrual, less any permissible deductions from the portfolio and divided by the units in the portfolio.
- For money market funds, the price of each participatory interest is aimed at a constant value. While a constant price is maintained, the investment capital is not guaranteed. A money market portfolio and short-term debt portfolio is not a bank deposit. The total return of the investment is primarily made up of interest received. The return may also include any gain or loss made on any particular instrument. In most cases this will merely have the effect of increasing or decreasing the daily yield, but in the case of abnormal losses it can have the effect of reducing the capital value of the portfolio. The daily yield is calculated by taking the daily income earned from dividends and interest, subtracting the expenses at a fund level, and dividing it by the current value of all the assets held in the fund. Excessive withdrawals from the portfolio may place the portfolio under liquidity pressures, and in such circumstances, a process of ring-fencing the withdrawal instructions, and managed pay-outs over time, may follow.
- If funds for money market funds are deposited on a non-business day e.g. Saturday, Sunday or public holiday, investors will receive that specific day's price and earn interest from that day onwards.
- Income payment(s) will only be paid out to a client's bank account if the investment transactions (e.g. debit orders and deposits) used to purchase units have been cleared by the bankers on the income reinvestment date. If the units have not cleared, income payment(s) will automatically be reinvested.

### 11.2 Fees and charges

- A schedule of fees and charges and maximum commissions is available from the **Minimum Disclosure Documents** (fund fact sheets):
  - The following charges are levied against the portfolio: brokerage, auditors' fees, performance fees, service fees, applicable taxes, custodian fees, bank charges, trustees' fees and trailer fees (trailer commission is paid by Sanlam to financial advisers on a monthly basis; it forms part of the annual service charge, which is a fixed percentage per annum that is calculated and deducted daily from the accrued income in the portfolio). These fees are charged to the client: Sanlam manager's fees as well as broker advice fees.
- Monthly debit orders will automatically be cancelled if funds are returned from the bank after 3 consecutive occasions. If a debit order or direct debit is returned by the bank due to insufficient funds being available or for any other reason, the units purchased for that transaction will be reversed (at no cost to the client) and the client's unit trust account will be debited with the units allocated.
- The client will be liable for any bank charges incurred as a result of a direct debit or monthly debit order being rejected by the bank.

### 11.3 Transaction cut-off times

- Please make sure you send us your completed instruction (including supporting documents) before the transaction cut-off time.
- The Namibian business day transaction cut-off times for our funds are:
  - 13:00 for money market funds and (winter time: 12:00),
  - 15:00 for all other funds (winter time: 14:00)
- We can only process your instruction once we have received the correct and accurately completed form and the required supporting documents. If an instruction is issued incorrectly, is unclear, incomplete, or if the supporting documents are not received by the cut-off time, the processing of the transaction will be delayed.
- Your transaction will be priced using the ruling price of the fund for the day the transaction is processed i.e. the day we receive all of the required information. Any loss will be for the investor's account.
- Any interest earned on:
  - money deposited for investment in a fund after the specified cut-off time, incorrect deposits or,
  - deposits for applications with outstanding requirements, will not be paid to the client as we are unable to transfer the money in the fund(s) account.
- If a debit order collection date falls on a non-business day, we will collect it on the first available business day thereafter.



## 11.4 Ownership, information security and instructions

- The legal owner of the investment is the person in whose name the investment is registered, regardless of who the payer is. If the legal owner is a minor, we will only accept instructions from their legal guardian.
- We will only release information to, and act on instructions from, the investor, the authorised signatory or the appointed financial intermediary.
- We can only process your instructions once we have received the correct and accurately completed form and required supporting documents. If an instruction is issued incorrectly, is unclear, incomplete, or if the supporting documents are not received by the cut-off time, the transaction may be delayed. Any loss will be for the investors' account.
- We permit ring fencing for large withdrawals. Ring fencing is the separation of assets and the delayed sale of units in a unit trust fund. A large sale of units in a unit trust, above certain thresholds, may cause ring fencing. This ensures that the sale of a large number of units will not force us to sell the underlying investments at a price in the market which could have a negative impact on other investors. If your sell instruction is affected by this ring fencing, we will contact you to discuss the process, where applicable.

## 11.5 Unclaimed assets and how they affect you

- An unclaimed asset is any unit trust investment on which there have been no transactions for ten years, or in the case of a deceased estate, more than three years have passed since we have received the notice of death. Our policy is to continue reinvesting all income distributions (interest) and redemption payments until the unit trust is sold, regardless of the time frame.
- Please note that to prevent your investment becoming an unclaimed asset, it is your responsibility to inform us of any change in your personal information.

## 11.6 Update your personal details

It is your responsibility to keep us informed of any changes in your banking details, personal information or current identification information (e.g. change of address, change of surname and contact details). If any of your details have changed, you will need to complete an Investor Details Update form available from [www.sanlam.com.na](http://www.sanlam.com.na)

## 11.7 Making changes to your investment

Unit trusts are a flexible investment option, which means that you can make changes to your investment as your personal circumstances change. This means you can change your fund selection, sell some or all of your units, and make additional investments. As changes to your investment could impact your original investment goals, please speak to your financial adviser or broker.

## 11.8 Complaints

We want to give you outstanding client service, but sometimes things go wrong. If you are dissatisfied with our service, or any of our products have disappointed you, we would like to hear about it. Please get in touch:

- Telephone: 061 294 7417
- Fax: 061 294 7524
- Email: [collective@sanlam.com.na](mailto:collective@sanlam.com.na)
- Complete a complaint form online at [www.sanlam.com.na](http://www.sanlam.com.na)
- Visit your nearest Sanlam office.

Your views are very important to us. When we receive your complaint, we shall investigate it and try to resolve it as soon as possible in a fair manner.

## 11.9 How we process your personal information

- We collect personal information about you to offer you the best service. We will not share this information outside of the Sanlam Group, its associated groups or agents, without your explicit consent. In order to provide you with an effective service, we may be required to share this information with our administrators or agents who perform certain services for us (e.g. mail houses who post your statements on our behalf), members of the Sanlam Group, your financial adviser or broker, as well as with any regulatory bodies as the law requires. We may share your information with foreign regulatory bodies if required.
- Your information is used for administrative, operational, audit, marketing, research, legal and record keeping purposes. We will take all reasonable steps necessary to secure the integrity of any personal information which we hold about you and to safeguard it against unauthorized access. If you don't consent to us using your personal information, there may be delays or some instructions might not be carried out. You can have access to your information at any time and ask us to correct any information we have in our possession. Please feel free to write to us to obtain a copy of this information. We keep relevant documents for a period of five years or more as required by the law. If you consent to us retaining your personal information for periods of longer than five years, we will restrict access to your information. It will only be processed for storage or for purposes of proof (with your consent).



## 12. Investor declaration

1. I / We confirm that I / we have the authority and am / are legally competent to enter into and conclude this transaction, with any legal Assistance that may be required.
2. I / We understand that this application is subject to the Sanlam Namibia Unit Trusts Scheme Deed (the Deed) and that this application, read together with the Deed, constitutes the entire agreement between Sanlam and myself / ourselves. A copy of the Deed is available upon request.
3. I / We certify that the information I / we have provided about my / our country of citizenship and country of tax residence is correct.
4. In terms of the Prevention of Organised Crime Act (No 29 of 2004), I / we confirm that the funds for this investment come from a legitimate source. I / we further agree to answer any questions on the source of the funds used for investment and to provide additional information if required.
5. I am / We are aware of and consent to all costs and charges relating to this investment. I / We understand that there is no guarantee with regards to the capital investment. I / We am / are aware that there are further allowable deductions from the fund (e.g. an annual management fee) that may impact the value of the investment.
6. I / We confirm that I am / we are familiar with the content and I / we understand the relevant Minimum Disclosure Document(s) (fund fact sheet(s)).
7. I / We understand that the cost of buying units may include an initial upfront fee which may consist of Sanlam's manager's fee as well as a broker advice fee. This is additional to the annual management fee charged by Sanlam.
8. I / We confirm that the risk profile of the investment has been explained to me / us and I / we understand that it is my / our obligation to familiarise myself / ourselves with and accept the risks associated with this investment.
9. I / We accept full responsibility for informing Sanlam of any changes in my / our personal information (e.g. change of address, change of surname and contact details).
10. I / We have read and I / we understand the contents of this application form and I / we agree to its terms and conditions.

Signature of Investor: \_\_\_\_\_

Date:          
D D M M Y Y Y Y

\*Authorised signatory: \_\_\_\_\_

Date:          
D D M M Y Y Y Y

\* **Authorised signatory/(ies) acting on behalf of the investor** (e.g. parents / guardians of a minor, and all persons authorised to act on behalf of the investor).

\* **Please refer to Annexure A for additional information required.**

## Important information

Unit Trusts schemes are generally medium to longterm investments. Please note that past performances are not necessarily an accurate determination of future performances, and that the value of investments / units / unit trusts may go down as well as up.

Unit Trusts are traded at ruling prices and can engage in borrowing and scrip lending. Unit Trusts are calculated on a net asset value basis, which is the total market value of all assets in the portfolio including any income accruals and less any deductible expenses such as audit fees, brokerage and service fees. Actual investment performance of the portfolio and the investor will differ depending on the initial fees applicable, the actual investment date, and the date of reinvestment of income as well as dividend withholding tax. Forward pricing is used. The Manager does not provide any guarantee either with respect to the capital or the return of a portfolio. The performance of the portfolio depends on the underlying assets and variable market factors. Performance is based on NAV to NAV calculations with income reinvestments done on the exdiv date. Lump sum investment performances are quoted. The portfolio may invest in other unit trust portfolios which levy their own fees, and may result in a higher fee structure for our portfolio. International investments or investments in foreign securities could be accompanied by additional risks as well as potential limitations on the availability of market information. The Manager has the right to close any portfolios to new investors to manage them more efficiently in accordance with their mandates. Standard Bank of Namibia is the appointed trustee of the Sanlam Namibia Unit Trusts Scheme.



## Additional information required in terms of FIA

Each person acting on behalf of the investor will need to complete the sections below. In the event that more than one person is authorised to act on behalf of the investor, copies of this section can be made as required and must accompany the fully completed application form.

The information required is mandatory to meet legislative requirements and therefore the application will not be processed without receiving the additional information for each applicable party.

Title:    Other (please specify): \_\_\_\_\_

Capacity (e.g. parent, guardian etc): \_\_\_\_\_

Surname / registered name of legal entity: \_\_\_\_\_

Full name(s): \_\_\_\_\_

ID / passport number:

Date of birth:          
D D M M Y Y Y Y

Passport expiry date:          
D D M M Y Y Y Y

Country of birth: \_\_\_\_\_

Occupation: \_\_\_\_\_

Registered address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Postal address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Telephone (h): \_\_\_\_\_ Telephone (w): \_\_\_\_\_

Cell: \_\_\_\_\_ Fax: \_\_\_\_\_

Email address: \_\_\_\_\_

I certify that the information I have provided above is true and correct.

\*Authorised signatory: \_\_\_\_\_ Date:          
D D M M Y Y Y Y

\*Authorised signatory/(ies) acting on behalf of the investor (e.g. parents / guardians of a minor, and all persons authorised to act on behalf of the investor).