

# INVESTMENT APPLICATION FORM (INDIVIDUAL)

## INVESTMENT PROCESS

### STEP 1

- Please refer to the Minimum Disclosure Document (MDD) in respect of your selected Portfolios before completing this investment form. The minimum disclosure document reflects the fees, investment objectives, risk profile and income distribution dates for your chosen portfolio(s).
- Please read the RCIS Fund Information Document for Terms & Conditions, Investment and Redemption cut-off times as well as specific disclosures relating to your investment.



### STEP 2

- Please complete all relevant sections within this investment form.
- Complete all necessary Annexures:
  - Annexure A - FICA Checklist (Compulsory)
  - Annexure B - Additional FICA Information
  - Annexure C - FATCA & CRS Form (Compulsory)
  - Annexure D - Dividends Tax Declaration (Exemptions)
  - Annexure E - Dividends Tax Declaration (Reduced Rate)



### STEP 3

- Your investment form together with all required supporting documentation set out in Annexure A must be submitted to RCIS for verification **before** we can accept your investment.
- Please send the completed investment form along with the relevant FICA to: [clientservices@realfin.co.za](mailto:clientservices@realfin.co.za)
- Once we have verified your identity as required in terms of the Financial Intelligence Centre Act, No.38 of 2001 ("FICA"), we will provide you with our bank details (including a cyber safety and security letter for your attention) and an investor transaction number which you **must use** as your payment reference.
- The verification process is not instantaneous so please ensure that your investment form together with all required supporting documentation is submitted to RCIS to avoid delay of investment.



## CONTACT DETAILS

### RealFin Collective Investment Schemes (RF) (Pty) Ltd

Tel: +27 21 701 3777

Email: [clientservices@realfin.co.za](mailto:clientservices@realfin.co.za)

Website: [www.realfin.co.za](http://www.realfin.co.za)

Physical Address:

347 Main Road, Kenilworth, Cape Town, 7708

Complaints:

Should you have any complaints, please send an email to [complaints@realfin.co.za](mailto:complaints@realfin.co.za). Our Complaints Policy is available on our website: [www.realfin.co.za](http://www.realfin.co.za)

Trustees:

FirstRand Bank Limited (acting through its RMB Trustee Services Division) is the appointed Trustee and can be contacted on 087 736 1732

## SECTION 1 | INVESTOR DETAILS

Title:	<input type="text"/>	Surname:	<input type="text"/>	Full Name(s):	<input type="text"/>
Gender:	Male <input type="checkbox"/>	Female <input type="checkbox"/>	Other <input type="checkbox"/>	Marital Status:	Single <input type="checkbox"/> Married (ICOP) <input type="checkbox"/> Married (OCOP) <input type="checkbox"/>
ID or Passport Number (Foreign National):	<input type="text"/>				
Country of Birth:	<input type="text"/>	Date of Birth (DD/MM/YYYY):	<input type="text"/>		
Physical Address:	<input type="text"/>				
	<input type="text"/>				Code: <input type="text"/>
Postal Address:	<input type="text"/>				Code: <input type="text"/>
Are you a South African citizen or permanent resident of South Africa? <input type="checkbox"/> Yes <input type="checkbox"/> No - If "No", kindly indicate your:					
Citizenship:	<input type="text"/>		Permanent Residence:	<input type="text"/>	
Telephone (Home or Mobile):	<input type="text"/>		Email Address:	<input type="text"/>	
Investor's Communication Choice:	Email: <input type="checkbox"/>	Post: <input type="checkbox"/>			
What is your profession?	<input type="text"/>		Income Tax Number*:	<input type="text"/>	

*\*Please note that the Parent's/Guardian's income tax reference number should only be provided if the source of funds is linked to the Parent/Guardian. If not, the minor's income tax reference number should be provided.*

Specify your source of funds:

<input type="checkbox"/> Salary	<input type="checkbox"/> Investment Proceeds	<input type="checkbox"/> Sale of Assets
<input type="checkbox"/> Inheritance	<input type="checkbox"/> Company Profit	<input type="checkbox"/> Transfer from FSP
<input type="checkbox"/> Member's Contribution	<input type="checkbox"/> Other (specify): <input type="text"/>	

RCIS reserves the right to request documentary proof (e.g. income statement, bank statement). Please note that electronic internet transfers may take up to two business days to reflect in our bank account.

Will you be concluding a single transaction (once-off only) ☐ or more than one transaction, over a certain period of time ☐

Have you occupied the position of a Domestic Politically Exposed Person (DPEP), Foreign Politically Exposed Person (FPEP) or Prominent Influential Person (PIP)?\* ☐ Yes ☐ No *\*See next page for definitions*

If you indicated "Yes" to the above:

State position that you occupy(ied):

State your source of wealth:

## INDIVIDUALS ACTING ON BEHALF OF THE INVESTOR (IF APPLICABLE)

This is for Parents/Guardians/Persons with Power of Attorney. Please complete an "Annexure B" for each person acting on behalf of the investor.

Full Name:	<input type="text"/>	ID Number:	<input type="text"/>
Capacity:	<input type="text"/>	Email Address:	<input type="text"/>
Contact Number:	<input type="text"/>		
Full Name:	<input type="text"/>	ID Number:	<input type="text"/>
Capacity:	<input type="text"/>	Email Address:	<input type="text"/>
Contact Number:	<input type="text"/>		

## DOMESTIC POLITICALLY EXPOSED, FOREIGN POLITICALLY EXPOSED & PROMINENT INFLUENTIAL PERSONS

**"DPEP"** a **Domestic Politically Exposed Person** is an individual who:

(A) holds, including in an acting position for a period exceeding six months, or has held a prominent public function in the Republic, including that of –

- President or deputy president of South Africa;
- Government minister or deputy minister;
- Premier of a province;
- Member of executive council of a province;
- Head, accounting officer or chief financial officer of a national or provincial department or government component;
- Chairperson, chief executive officer, accounting authority, chief financial officer or chief investment officer of a public entity;
- Chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity
- Constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001 (Act No. 47 of 2001)
- Ambassador, high commissioner or senior representative of a foreign country who is based in South Africa;
- Officer of the South African National Defence Force above the rank of major-general
- Executive mayor of a municipality;
- Leader of a political party;
- Member of a royal family or a senior traditional leader;
- Municipal manager or chief financial officer of a municipality;

(B) 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.

**"FPEP"** a **Foreign Politically Exposed Person** is an individual who holds, or has held, in any foreign country a prominent public function including that of a:

- Head of State or head of a country or government;
- Member of a foreign royal family;
- Government minister or equivalent senior politician or leader of a political party;
- Senior judicial officer;
- Senior executive of a state-owned corporation; or
- High-ranking member of the military.

**"PIP"** a **Prominent Influential Person** is an individual who holds, or has held at any time in the preceding 12 months, the position of:

- Chairperson of the board of directors;
- Chairperson of the audit committee;
- Executive officer; or
- Chief financial officer, of a company, as defined in the Companies Act, 2008 (Act No. 71 of 2008), if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister by notice in the Gazette.

## SECTION 2 | INVESTOR BANKING DETAILS (Account to be used for distribution & redemption payments)

Account Holder:	<input type="text"/>	Account Number:	<input type="text"/>
Bank:	<input type="text"/>	Branch Code:	<input type="text"/>
Branch Name:	<input type="text"/>		
Account Type:	Current <input type="checkbox"/>	Cheque <input type="checkbox"/>	Savings <input type="checkbox"/>
			Transmission <input type="checkbox"/>
<ul style="list-style-type: none"><li>• Please supply proof of bank account details (on a bank letterhead and not older than 3 months)</li><li>• All payments are made electronically to the bank accounts of the registered client only</li><li>• The account holder must have a South African bank account</li><li>• No payments will be made to credit card or market-linked accounts</li><li>• No third party bank accounts are permitted</li></ul>			

Please note that it is the investor's responsibility to keep RCIS informed of any changes to your bank account details.

## SECTION 3 | INVESTMENT OPTIONS

Please make sure that you have read and understood the RCIS Fund Information Document as well as the Minimum Disclosure Document for the desired portfolio(s), before completing the below. Kindly note that debit orders are not available for these portfolio(s).

PORTFOLIO NAME	FEE CLASS	INVESTMENT AMOUNT	DATE	DISTRIBUTIONS	
				RE-INVESTED	PAID OUT
<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"/>

A schedule of fees, charges and maximum commissions is available on request from RCIS.

If you have elected to invest into a Qualified Investor Hedge Fund, please complete Section 4 below.

## SECTION 4 | QUALIFIED INVESTOR DECLARATION (IF APPLICABLE)

A Qualified Investor, as defined by Board Notice 52 of 2015 is: any person who invests a minimum investment amount of R1 million per hedge fund and who:

- (a) has demonstrable knowledge and experience in financial and business matters which would enable the investor to assess the merits and risks of a hedge fund; or
- (b) has appointed a Financial Services Provider (FSP) who has demonstrable knowledge and experience to advise the investor regarding the merits and risks of a hedge fund investment.

Please tick the appropriate boxes below:

- ☐ I confirm that the minimum investment amount will be R1 million or above per Qualified Hedge Fund Portfolio set out in **Section 3**
- ☐ I confirm that I have the required knowledge and experience in financial and business matters to choose this investment. I further confirm that I have read and understood the nature of a Qualified Investor Hedge Fund, including the **Hedge Fund Risk Disclosures** set out in **Section 5** of the **RCIS Fund Information Document**; or
- ☐ I hereby confirm that my knowledge is limited and that my financial advisor has been appointed to provide me with the necessary advice in relation to this investment. My financial advisor has explained this investment to me and I confirm that I understand the nature of a Qualified Investor Hedge Fund, including the **Hedge Fund Risk Disclosures** set out in **Section 5** of the **RCIS Fund Information Document**.

## SECTION 5 | FINANCIAL ADVISOR DETAILS (IF APPLICABLE)

Full Name and Surname of Financial Advisor:	<input type="text"/>		
Name of Financial Services Provider (FSP):	<input type="text"/>		
FSP License Number:	<input type="text"/>	Financial Advisor Code:	<input type="text"/>
Licence Category:	<input type="checkbox"/> Category I	<input type="checkbox"/> Category II	<input type="checkbox"/> Category IIA
VAT vendor Status:	<input type="checkbox"/> Registered	<input type="checkbox"/> Not Registered	VAT Number: <input type="text"/>

### 5.1 | FINANCIAL ADVISOR SECTION

#### 5.1.1 FAIS DECLARATION

I, the appointed Financial Advisor for this investment application declare that:

- I am licensed to render services in respect of this product.
- I have made the disclosures required in terms of the Collective Investment Schemes Control Act and Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS) and subordinate legislation thereto, to the investor.
- I have explained all fees that relate to this investment to the investor and I understand and accept that the investor may withdraw his/her authority for payment to me in writing and inform the manager.
- I have fully explained the meaning and implications of replacement (if applicable) to the investor and that I am fully aware of the possible detrimental consequences of replacement.
- My personal information may be used by the manager in the normal course of business to provide the products and services and the manager may retain any information for purposes of investment transactions, processing and administration and to communicate directly with me. Personal information will not be given or sold to any third parties. The manager will disclose or report personal information if and when required to do so by law or any regulatory authority, and to our employees, or agents who require such information to carry out their duties.

#### 5.1.2 FICA CONFIRMATION

- I confirm that I have established and verified the identity of the investor (and persons acting on behalf of the investor) in accordance with the Financial Intelligence Centre Act 38 of 2001 "FICA" and the regulations thereto, and I will keep records of such identification and verification according to the provisions of FICA.
- I confirm that I have internal rules and procedures in compliance with the requirements of FICA regarding the establishing and verification of client's identity and establish and verify the identity of all new clients. I further confirm that I will keep record of the verification documents as required in terms of the said Act and will make available copies of these documents and details of the verification procedures followed on request to any party entitled thereto in terms of The Act.
- I have accepted appointment by RCIS to collect, on behalf of RCIS, all documentation which RCIS may require from the investor in order for RCIS to be satisfied that it has established and verified the identity of the investor (and persons acting on behalf of the investor) in accordance with RCIS' risk management and compliance programme and any other relevant policies and their obligations as an accountable institution in terms of applicable law and enclose such documentation together with this application as per the FICA requirements section of Annexure A.

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

## 5.2 | FINANCIAL ADVISOR SECTION

(This section is only applicable if the FSP above holds a 'Category II' Licence with the FSCA and is therefore an approved discretionary FSP)

Please tick the appropriate boxes:

- ☐ I confirm that I have entered into a mandate with the above approved discretionary FSP.
- ☐ I confirm that I have not entered into a mandate with the above approved discretionary FSP.
- ☐ I agree and understand that, in terms of the mandate, the FSP may give RCIS investment instructions directly, and I authorise RCIS to accept all instructions, including electronic transactions, submitted by the FSP on my behalf.

## 5.3 | CONFIRMATION OF FINANCIAL ADVISOR FEES

I hereby confirm that the financial advisor whose details are recorded above is my appointed Financial Advisor, and I agree to the payment of the following fees:

PORTFOLIO	INITIAL ADVICE FEE (%)	ONGOING ADVICE FEE (%)

Initial Advice Fee (%)

Applied to each contribution received, exclusive of VAT.

Ongoing Advice Fee (%)

Per annum of the market value of the portfolio, charged by means of unit reduction and paid to the Financial Advisor monthly in arrears, exclusive of VAT.

I hereby authorise RCIS to make payment of the above fees to my appointed Financial Advisor on my behalf. I hereby authorise RCIS to sell units proportionately across my portfolios in order to fund payment of the fees due by me to my appointed financial advisor. This instruction may be revoked at any time in writing, but until such time as it is revoked, RCIS shall make payment in accordance with this instruction and shall not be liable for any loss which I may suffer as a result of this instruction or my failure to timeously revoke this instruction.

Authorised Signature:

Date (DD/MM/YYYY):

Capacity:

Place of Signature:

## SECTION 6 | INVESTOR DECLARATION

I/We understand and have read all the pages of this investment form and agree to the **Terms and Conditions** set out in **Section 6** of the **RCIS Fund Information Document**. I/We understand that this investment application form, read together with the Deed and Supplemental Deed of the relevant portfolio(s), constitutes the entire agreement between myself/ourselves and RCIS.

I/We understand and/or confirm that:

- The information which I/we have provided is true and correct, and that if this investment form is signed in a representative capacity, I/we have the necessary authority to do so and that this transaction is within my/our powers.
- I/We understand that I/we are responsible for ensuring that RCIS always has up to date information and should any information provided herein to RCIS change I/we undertake to immediately notify RCIS of such changed information.
- I/We am/are acting for my/our own account and that I/we have made my/our decision(s) to enter into the investment and as to whether the investment is appropriate for me/us independently, based upon my/our own judgement, and upon advice from such advisers as I/we may deem necessary.
- I understand that the manager will accept instructions from my FSP only if duly appointed and authorised in writing by me. The manager will not be held liable for any losses that may result from unauthorised instructions given to the manager by my FSP.
- I hereby authorise the manager to furnish written reports to my duly appointed FSP, if applicable.
- I/We declare that I am/we are not relying on any communication received from RCIS, whether written, oral or implied as investment advice or as a recommendation to enter into the investment.
- I/We understand that information and explanations relating to the terms of an investment shall not be considered investment advice or a recommendation to enter into the investment. I/we acknowledge that RCIS is not authorised to provide investment advice to me/us.
- RCIS will only be able to process investments once all relevant FICA documentation has been received and funds have been received into our bank account and proof of deposit provided to us. Any delay in providing FICA documentation or depositing funds and providing proof thereof may lead to a delay in processing an investment and I/We acknowledge that we shall have no recourse against RCIS for any loss which I/we may suffer in this regard.
- RCIS will not proceed with any transaction if there is any doubt as to the validity of any signatures/information or if it deems the application to be incomplete in any way and RCIS cannot be held liable, and the investor hereby waives any claim, for any resultant losses as a result thereof.
- SARS requires RCIS to withhold and pay over dividend tax on an investor's behalf where applicable. RCIS will deduct this tax before it pays any dividends or re-invests these into your investment account. Unless RCIS receives information from you indicating otherwise, accounts held by South African trusts, companies and partnerships will attract the Dividend Withholding Tax "DWT" at the stipulated rate, which is currently 20% (such rate subject to change).
- I/We will notify RCIS immediately if my/our tax residency or FATCA, CRS or equivalent classification changes from that certified in Annexure C in the future.
- RCIS will not be responsible for any failure, malfunction or delay of any networks, electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of applications and/or transactions. RCIS will not be liable to make good or compensate any investor or third party for any damages, losses, claims or expenses resulting therefrom.
- I/We acknowledge the inherent risk associated with the selected Hedge Fund(s) and/or Unit Trust(s) and that there are no performance guarantees. I/we have re-ceived, read and understand the following sections: Hedge Fund Disclosure Risk (as outlined in Section 5); the Terms of Conditions (as outlined in Section 6) the Mandatory Disclosures (as outlined in Section 7) and the Data Protection Notice and Consent (as outlined in Section 8) of the RCIS Fund Information Document, and the Minimum Disclosure Document in respect of the Portfolios which I/we have selected.
- I/We have read, understand and acknowledge the requirements and responsibilities in agreeing to the Investor Discretionary Mandate Declaration (as outlined in Section 6.2).
- I/We consent to receiving the Minimum Disclosure Document via the RCIS website [www.realfin.co.za](http://www.realfin.co.za) or via email request from [clientservices@realfin.co.za](mailto:clientservices@realfin.co.za)
- I/We consent to RCIS utilising electronic balloting in accordance with the Deed.
- I/We hereby indemnify and hold RCIS harmless against any loss which RCIS may suffer as a result of any of the above representations proving to be untrue and I/we hereby undertake to pay to RCIS, forthwith on demand, any amount which RCIS may claim in terms of this indemnity.
- Any personal information may be used by RCIS in the normal course of business to provide the products and services and RCIS may retain any information for purposes of investment transactions, processing and administration and to communicate directly with me. Personal information will not be given or sold to any third parties. RCIS will disclose or report personal information if and when required to do so by law or any regulatory authority, and to RCIS's employees (if relevant), or agents who require such information to carry out their duties. I/we consent to the processing of my/our personal information/data and the disclosure of my/our personal information/ data to any tax authority and/or as may be required to comply with FATCA and the Common Reporting Standard (CRS) as explained in Annexure C – Tax Residency Self-Certification, attached hereto. I consent to RCIS making enquiries of whatsoever nature and in particular the use of a digital KYC solution for the purpose of identification and verification requirements in terms of FICA and for the purpose of verifying the information disclosed in this application and I expressly consent to RCIS obtaining any other information concerning me from any source whatsoever to enable RCIS to process this application. To view our full privacy notice, please visit our website on [www.realfin.co.za](http://www.realfin.co.za).

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

# ANNEXURE A

## FICA REQUIREMENTS

### IMPORTANT INFORMATION

In terms of the Financial Intelligence Centre Act No. 38 of 2001 ("FICA"), RCIS is required to identify and verify the identity of the Client before entering into a financial transaction with the Client. Details of the information and documentation required from Clients are set out below.

Please note: **All documentation submitted must be clear copies of the original and RCIS may be required to request clear copies if necessary.**

### SA CITIZEN/RESIDENT

☐ Copy of a SA bar-coded ID document, SA Smart Card\* ID or passport issued by the Department of Home Affairs

**\*Please ensure that we receive a clear copy of the back and the front of the Smart Card**

**Important: If your SA bar-coded ID document is not available, please provide us with an SA driver's license or SA temporary ID document along with a letter explaining why the SA barcoded ID document is not available.**

☐ Proof of residential address (not older than 3 months). See below for accepted documentation.

☐ Proof of bank account details (on a bank letterhead, not older than 3 months).

### FOREIGN NATIONALS

☐ Copy of a valid passport containing a photo, full names, identity number and date of birth

☐ Proof of residential address (not older than 3 months)

☐ Proof of bank account details (on a bank letterhead, not older than 3 months).

### PERSONS ACTING ON BEHALF OF THE INVESTOR

☐ Completed Annexure B

☐ Documentary requirements as set out in 1.1 and 1.2 above in respect of both parties

☐ Proof of residential address (not older than 3 months) in respect of the representative individual

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

### PROOF OF RESIDENTIAL ADDRESS EXAMPLES

Documents that must be **less than 3 months old**:

- Bank Statement
- Cellular or Telephone invoice
- Government issued document
- Investment statement
- Letter from municipal representative
- Letter from traditional authority
- Levy statement or other body corporate correspondence
- Retail/credit account statements
- Utility Bill
- Municipal rates and taxes

Documents that must be **less than 1 year old**:

- Mortgage statement
- Motor vehicle license
- Official SARS document
- Short or long term insurance
- Television license

Other:

- Lease/Rental agreement (however long it is valid for)

# ANNEXURE B

## ADDITIONAL INFORMATION (IF APPLICABLE)

Details of all parents, legal guardians or power of attorneys must be inserted below.

(Please fill out a separate Annexure B form for each person as necessary).

PLEASE TICK THE RELEVANT CATEGORY

- ☐ Parent  
☐ Legal Guardian  
☐ Person with Power of Attorney

### INDIVIDUALS ACTING ON BEHALF OF THE INVESTOR

Full Name(s):	<input type="text"/>	ID Number:	<input type="text"/>
Residential Address:	<input type="text"/>		
Nationality:	<input type="text"/>	Profession:	<input type="text"/>
Country of Residence/Incorporation:	<input type="text"/>		
Tax Reference Number :	<input type="text"/>	Tax Residency/Obligations:	<input type="text"/>
Telephone (Home/Mobile) :	<input type="text"/>	Email Address:	<input type="text"/>

Please describe your company or business' activities (ie. what industry it is in, what products / services it sells etc.)

Do you occupy or have you in the past 12 months occupied, a **Domestic Politically Exposed Person, Foreign Politically Exposed Person or Prominent Influential Person** position? See Section 1 for details

☐ Yes ☐ No If "Yes", please indicate that position that you occupy(ied):

If "Yes", please indicate your source of wealth:

### COMPULSORY TAX INFORMATION

Tax Reference Number:	1. <input type="text"/>	2. <input type="text"/>	3. <input type="text"/>
Tax Residency/Obligations	1. <input type="text"/>	2. <input type="text"/>	3. <input type="text"/>

If you are unable to provide a tax identification number, please can you give a reason:



## ANNEXURE C

# FATCA & CRS: TAX RESIDENCY SELF-CERTIFICATION

### IMPORTANT INFORMATION

**This Declaration must be completed by all investors, including South African citizens and/or tax residents.** We are obliged by **Foreign Account Tax Compliance Act ("FATCA")** and the **Common Reporting Standard ("CRS")** to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be obliged to share this information and information pertaining to your investment with relevant tax authorities. Terms referenced in this form shall have the same meaning as defined in the Agreement between the Government of South Africa and the Government of the United States of America to Improve International Tax Compliance and to implement FATCA (the "Agreement"), and/or the OECD Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, CRS, copies of which are available from RCIS. If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly.

If you have any questions about how to complete this form, please contact your tax advisor and/or tax consultant.

### 1.1 | NATURAL PERSONS DETAILS

Title:	<input type="text"/>	Surname:	<input type="text"/>	Full Name(s):	<input type="text"/>	
Capacity:	<input type="text"/>	ID or Passport:	<input type="text"/>			
Date of Birth:	<input type="text"/>	City/Town of Birth:	<input type="text"/>	Country of Birth:	<input type="text"/>	
Physical Address:	<input type="text"/>				Code:	<input type="text"/>

### 1.2 | FATCA DECLARATION OF U.S CITIZENSHIP OR U.S RESIDENCY FOR TAX PURPOSES

☐ I confirm that **I am** a U.S citizen and/or resident in the U.S for tax purposes and the U.S Federal Taxpayer Identifying Number (U.S TIN) is as follows:

☐ I confirm that **I am not** a U.S citizen and/or resident in the U.S for tax purposes

### 1.3 | CRS DECLARATION OF TAX RESIDENCY

Please indicate your/the investor's country of tax residence (if they reside in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ("TIN").

Tax Identification Number (TIN):	1. <input type="text"/>	2. <input type="text"/>	3. <input type="text"/>
Country of Tax Residence	1. <input type="text"/>	2. <input type="text"/>	3. <input type="text"/>

**NOTE:** Provision of a Tax ID Number (TIN) is required unless you are a tax resident in a Jurisdiction that does not issue a TIN.

If no TIN is available enter reason below:

If a TIN is not legally available please provide a functional equivalent (such as a business or company registration number or other similar form of identification):

### 1.4 | DECLARATIONS AND UNDERTAKINGS

I declare (as an authorised signatory) that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise the recipient promptly and provide an updated Tax Residency Self-Certification form where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature:	<input type="text"/>	Date (DD/MM/YYYY):	<input type="text"/>
Name and Surname:	<input type="text"/>	Place of Signature:	<input type="text"/>

# ANNEXURE D

## DIVIDENDS TAX DECLARATION (EXEMPTIONS)

### DECLARATION AND UNDERTAKING TO BE MADE BY THE BENEFICIAL OWNER OF A DIVIDEND

#### IMPORTANT INFORMATION

Dividends withholding tax is a 20% tax (subject to change) charged to unitholders when a dividend is paid. Dividends tax is withheld by either the company paying the dividend or the withholding agent (such as RealFin Collective Investment Schemes (RF) Proprietary Limited ("RCIS")) who pays this over to SARS on your behalf. It applies to all dividends paid by South African resident companies as well as non-resident companies listed on the Johannesburg Stock Exchange (JSE). Non-residents may qualify for a reduced rate of tax depending on their country of residence and their circumstances, or they may be exempt.

Please send the completed form to [clientservices@realfin.co.za](mailto:clientservices@realfin.co.za).

#### NOTES ON COMPLETION OF THIS FORM

This form is to be completed by the beneficial owner (of dividends, including dividends in specie) in order for the exemptions from dividends tax referred to in section 64F read with sections 64FA(2), 64G(2) or 64H(2)(a) of the Income Tax Act, 1962 (Act No. 58 of 1962) (the "Act") to apply. In order to qualify for exemption this declaration and written undertaking should be submitted to RCIS within the period required (provided it is before payment of an affected dividend) – failure to do so will result in the full dividends withholding tax rate currently at 20% being withheld/payable. South African residents are exempt from dividends tax on distributions made by Real Estate Investment Trusts (REITs). To qualify for this exemption "Par (w)" should be marked under "Part C: Exemption" of this form. Non-South African residents claiming a reduced rate should complete Annexure E (the DTD (RR) form). Please note that non-South African residents can also apply for dividends tax exemption on dividends declared by a foreign company listed on the JSE. To qualify for this exemption, "Par (j)" should be marked under "Part C: Exemption" of this form.

### PART A: WITHHOLDING AGENT

All Collective Investments are managed by RealFin Collective Investment Schemes (RF) Proprietary Limited. A complete list of Collective Investments and their Dividends Tax reference numbers is available on request.

### PART B: BENEFICIAL OWNER

<input type="checkbox"/>	Individual	<input type="checkbox"/>	Trust (any type)
<input type="checkbox"/>	Listed Company	<input type="checkbox"/>	RSA Government, provincial administration, municipalities
<input type="checkbox"/>	Unlisted Company	<input type="checkbox"/>	Retirement fund (pension, provident, benefit, RA, etc.)
<input type="checkbox"/>	Other (if selected please provide a description/explanation of nature of the entity/person): <input type="text"/>		

Full Name(s) and Surname/Registered Name:	<input type="text"/>
Identity/Passport/Registration Number:	<input type="text"/>
South African Income Tax Reference Number:	<input type="text"/>
Country in which Resident for Tax Purposes:	<input type="text"/>

### PART C: EXEMPTION

<input type="checkbox"/>	Par (a)	– a company, or close corporation, which is resident in South Africa
<input type="checkbox"/>	Par (b)	– the Government, provincial government for municipality (of the Republic of South Africa)
<input type="checkbox"/>	Par (c)	– a public benefit organisation (approved by SARS in terms of section 30(3) of the Act to be tax-exempt)
<input type="checkbox"/>	Par (d)	– a trust contemplated in section 37A of the Act (environmental rehabilitation trusts)
<input type="checkbox"/>	Par (e)	– an institution, body or board contemplated in section 10(1)(cA) of the Act
<input type="checkbox"/>	Par (f)	– a fund contemplated in section 10(1)(d)(i) or (ii) of the Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund)
<input type="checkbox"/>	Par (g)	– a person contemplated in section 10(1)(t) of the Act (CSIR, SANRAL, etc.)
<input type="checkbox"/>	Par (h)	– a shareholder in a registered micro business as defined in the Sixth Schedule to the Act to the extent that the aggregate amount of the dividends paid by that registered micro business to its shareholders during the year of assessment in which that dividend is paid does not exceed R200,000

## PART C: EXEMPTION (CONTINUED)

<input type="checkbox"/>	Par (i)	– a small business funding entity as contemplated in section 10(1)(cQ)	
<input type="checkbox"/>	Par (j)	– a person that is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of “dividend” in section 64D (i.e. dividend on a foreign company’s shares listed in South Africa, such as dual-listed shares)	
<input type="checkbox"/>	Par (k)	– a portfolio of collective investment schemes in securities	
<input type="checkbox"/>	Par (l)	– any person insofar as the dividend constitutes income of that person (i.e. falls into normal tax system)	
<input type="checkbox"/>	Par (m)	– any person to the extent that the dividend was subject to STC	
<input type="checkbox"/>	Par (n)	– Fidelity and indemnity funds contemplated in section 10(1)(d)(iii) (i.e. only the two, not the other entities mentioned)	
<input type="checkbox"/>	Par (o)	– a natural person (or deceased estate or insolvent estate of a natural person) in respect of a dividend paid in respect of a tax free investment as contemplated in section 12T(1)	
<input type="checkbox"/>	Par (w)	– Real Estate Investment Trust (REIT) or controlled property company (cash) dividends received or accrued on or before 31 December 2013	
<input type="checkbox"/>	Par (x)	– Other (please provide description)	
<input type="checkbox"/>	Par (y)	– Double Taxation Agreement	
<input type="checkbox"/>	Par (z)	– Other international agreement	

## INDEMNITY

By signing this declaration and undertaking, I/we confirm that the information provided in this declaration is true and accurate. I/We undertake to inform RCIS promptly should any of the circumstances as disclosed in this declaration change.

The Collective Investments managed by us or any other entities forming part of the RealFin Holdings Proprietary Limited group of companies, any agent, employee or director of these entities are hereby indemnified and held harmless against any damage, loss (including consequential loss), cost or expenses incurred as a result of a non-disclosure of information, incorrect disclosure of information or failure to provide information in time.

## DECLARATION

In terms of section 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) of the Act:

I  (full names in print please), the undersigned hereby declare that dividends paid to the beneficial owner is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

## UNDERTAKING

In terms of section 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I  (full names in print please), the undersigned undertake to forthwith inform RCIS in writing should the circumstances of the beneficial owner referred to in the declaration above change.

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

# ANNEXURE E

## DIVIDENDS TAX DECLARATION (EXEMPTIONS)

### DECLARATION AND UNDERTAKING TO BE MADE BY THE NON-RESIDENT OWNER OF A DIVIDEND

#### IMPORTANT INFORMATION

Dividends withholding tax is a 20% tax (subject to change) charged to unitholders when a dividend is paid. Dividends tax is withheld by either the company paying the dividend or the withholding agent (such as RealFin Collective Investment Schemes (RF) Proprietary Limited ("RCIS")) who pays this over to SARS on your behalf. It applies to all dividends paid by South African resident companies as well as non-resident companies listed on the Johannesburg Stock Exchange (JSE). Non-residents may qualify for a reduced rate of tax depending on their country of residence and their circumstances, or they may be exempt.

Please send the completed form to [clientservices@realfin.co.za](mailto:clientservices@realfin.co.za).

#### NOTES ON COMPLETION OF THIS FORM

This form is to be completed by the non-resident beneficial owner (of dividends, including dividends in specie) in order for the reduced rate of dividends tax referred to in sections 64FA, 64G or 64H of the Income Tax Act, 1962 (Act No. 58 of 1962) (the "Act") as well as the provisions of the Agreement for the Avoidance of Double Taxation and Prevention of Fiscal Evasion (DTA) between South Africa and the country of residence of the non-resident beneficial owner, to apply. For more information, please refer to [www.sars.gov.za](http://www.sars.gov.za). In order to qualify for the reduced rate this declaration and written undertaking should be submitted to RCIS within the period required (provided it is before payment of an affected dividend) – failure to do so will result in the full dividends withholding tax rate currently at 20% being withheld/payable. Where the non-resident beneficial owner is a foreign resident but does not qualify for a reduced rate, this form should NOT be completed. If you are unsure about your dividend withholding tax status, please contact your financial advisor or tax consultant.

### PART A: WITHHOLDING AGENT

All Collective Investments are managed by RealFin Collective Investment Schemes (RF) Proprietary Limited. A complete list of Collective Investments and their Dividends Tax reference numbers is available on request.

### PART B: BENEFICIAL OWNER

<input type="checkbox"/>	Individual	<input type="checkbox"/>	Trust (any type)
<input type="checkbox"/>	Listed Company	<input type="checkbox"/>	RSA Government, provincial administration, municipalities
<input type="checkbox"/>	Unlisted Company	<input type="checkbox"/>	Retirement fund (pension, provident, benefit, RA, etc.)
<input type="checkbox"/>	Other (if selected please provide a description/explanation of nature of the entity/person): <input type="text"/>		

Full Name(s) and Surname/Registered Name:	<input type="text"/>
Identity/Passport/Registration Number:	<input type="text"/>
South African Income Tax Reference Number:	<input type="text"/>
Country in which Resident for Tax Purposes:	<input type="text"/>

### PART C: REDUCED RATE

Please provide the following details for all shares held in respect of which a reduced rate of tax is applicable:

No	Registered Company Name	Explanation of the reasons the beneficial owner meets the requirements of the DTA
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>

## INDEMNITY

By signing this declaration and undertaking, I/we confirm that the information provided in this declaration is true and accurate. I/We undertake to inform RCIS promptly should any of the circumstances as disclosed in this declaration change.

The Collective Investments managed by us or any other entities forming part of the RealFin Holdings Proprietary Limited group of companies, any agent, employee or director of these entities are hereby indemnified and held harmless against any damage, loss (including consequential loss), cost or expenses incurred as a result of a non-disclosure of information, incorrect disclosure of information or failure to provide information in time.

## DECLARATION

In terms of section 64FA(2)(a)(i), 64G(3)(i) or 64H(3)(i) of the Act:

I  (full names in print please), the undersigned hereby declare that dividends paid to the beneficial owner is exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature:

## UNDERTAKING

In terms of section 64FA(2)(b), 64G(3)(ii) or 64H(3)(ii) of the Act:

I  (full names in print please), the undersigned undertake to forthwith inform RCIS in writing should the circumstances of the beneficial owner referred to in the declaration above change.

Authorised Signature:

Date (DD/MM/YYYY):

Name and Surname:

Place of Signature: