WITHDRAWAL INSTRUCTION
INDIVIDUALS / LEGAL ENTITIES

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the Fundrock Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

IMPORTANT INFORMATION

1. This form is to be used by existing investors only.
2. Please read the **Terms and Conditions** that apply to this investment. This is available from your financial advisor, the Client Service Centre or at **www.fundrock.co.za.**
3. Please email required documents for processing to **cis-instructions@fundrock.com**.
4. The cut-off for instructions is 14:00, Money Market cut-off is 11:30. If received after the cut-off the next business day pricing will apply.
5. Please ensure all the pages of this form has been completed. You do not need to complete the FICA Risk rating Annexure again if you previously provided it.

SECTION 1: INVESTOR DETAILS

FR Investor Number / Investor Entity Number

Title

Surname / Entity Name (e.g. company or trust)

Name of Investor / Authorised contact person

ID or Passport number / Registration number

Telephone (H) (W)

Email Mobile

SECTION 2: WITHDRAWAL DETAILS

Do you want to withdraw all available investments in this account? ☐ Yes ☐ No

If no, please complete the section below:

Portfolio Name	Client Portfolio Account Number	Once-off Disinvestment (R)	Units		Percentage
				or	%
				or	%
				or	%
				or	%
				or	%
TOTAL INVESTMENT AMOUNT					%

Do you want to cancel the monthly withdrawal? ☐ Yes ☐ No

Do you want to cancel the debit order? ☐ Yes ☐ No

Please note there is a 60 day clearance period on all debit orders. This will pay out once cleared and account is closed. In the event that a withdrawal instruction on any specific day is more than 5% of the portfolio's net asset value, then we retain the right to delay the effective date of such instruction(s) by up to 20 business days in order to raise the required liquidity for these instructions.

SECTION 3: INVESTOR BANK ACCOUNT DETAILS

Please keep FR informed of any changes in your banking details.

Account holder

Bank

Branch name Branch code

Account number

Account type ☐ Current ☐ Savings ☐ Transmission

All payments are made electronically to the current, transmission or savings bank account of the registered investor only. No payments will be made to credit card or market-linked accounts. No Third Party bank accounts are permitted.

SECTION 4: INVESTOR DECLARATION

1. I confirm that all information provided in this form is true and correct.
2. I have read, understood and agree to the latest **Terms and Conditions** on the FR website **www.fundrock.co.za.**
3. Where signed in the capacity as legal guardian of a minor, I explicitly consent to the use of the minor's personal details contained herein.
4. FR will accept electronic signatures accompanied by a certificate or audit trail.
5. I hereby indemnify and hold FR, its affiliates, directors, officers, employees, and agents harmless from and against any and all claims, losses, liabilities, damages, costs, and expenses (including reasonable legal fees) arising from or in connection with the use of electronic signatures, including any fraud, misrepresentation, or unauthorised use by any person.

PRIVACY STATEMENT

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and the FR Privacy Policy. It is important to us that you understand how we obtain, process, store, and share your information. We may disclose your information to other entities in the Apex Group and/or its subsidiaries, agents, partners, or sub-contractors, for purposes as described in this application or related privacy policies. By submitting any personal information to FR you provide us with your consent to, alternatively acknowledge, the processing and sharing of your personal information and/or that personal information which you have provided that relates to other data subjects, as set out in the Privacy Policy. Please do not submit any personal information to FR if you do not agree/ object to any of the provisions of the Privacy Policy. Should you object to the Privacy Policy, or parts thereof, FR may not be able to provide its products and/or services to you. To access the FR Privacy Policy please click on the **link** or on the FR website **www.fundrock.co.za.**

Signature of investor(s) or legal guardian Date D D / M M / Y Y Y Y

Name of signatory

POPIA

By signing this application, I consent, alternatively acknowledge, that I have read and understood the Privacy Policy and I consent, alternatively acknowledge, to the collection, processing, storage, and internal sharing of my personal information by FR and members of the Apex Group, in accordance with the Protection of Personal Information Act, 4 of 2013 (POPIA).

CONTACT DETAILS

Physical Address

Fundrock Collective Investments
Catnia Building
Bella Rosa Village
Bella Rosa Street
Bellville
7530

Contact us

Tel: +27 21 007 1500/1/2 or +27 21 879 9937/9
Email: sa-clientsupport@fundrock.com | sa-compliance@fundrock.com
Visit our website: **www.fundrock.co.za**

Should you have any complaints, please send an email to sa-complaints@fundrock.com

ASISA AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA

Custodian / Trustee

The Standard Bank of South Africa Limited
Tel: +27 21 441 4100

FICA ANNEXURE

IMPORTANT INFORMATION

As an accountable institution, FR must comply with legislation. The new Financial Intelligence Centre Amendment Act of 2017 (FICA) introduced a risk-based approach to customer due diligence. This means that we must obtain and hold certain information and do a risk-rating on investors.

Without the required information and risk-rating we are not allowed to transact with you, which may mean that you will not be allowed to redeem your investment or add additional investments.

Please complete section A below if you are an Individual Investor OR section B if you are an Institutional Investor/Legal Entity. You do not have to submit the FICA Risk rating information again if you have previously submitted it.

SECTION A - INDIVIDUAL INVESTOR

Are you a resident of South Africa? ☐ Yes ☐ No

If no, where are you resident? _____

Is your bank account domiciled in South Africa? ☐ Yes ☐ No

If no, where is your bank domiciled? _____

OCCUPATION

Employment Status:

Formally Employed ☐ Self-Employed ☐ Unemployed ☐

Retired/Pensioner ☐ Minor ☐

Other (Please Specify) _____

Industry Type:

Aerospace & Defense ☐ Agriculture, Forestry & Fishing ☐ Banks/Financial Services ☐

Casinos ☐ Communication & Technology ☐ Construction & Engineering ☐

Digital Assets/Crypto Fund ☐ Diversified Metals & Mining ☐ Education ☐

Entertainment & Recreation ☐ Healthcare Services ☐ Internet Gambling/Online Betting Entity ☐

Manufacturing ☐ Precious Metals & Minerals ☐ Real Estate Services ☐

Retail ☐ State Owned Entity/Government ☐ Transportation, Storage & Logistics ☐

Utilities ☐

Other (Please Specify) _____

Source of wealth or income (FR reserves the right to request additional supporting documents)
(Definition: The financial activities that have generated the investor's net-worth)

Salary ☐ Pension ☐ Annuity ☐ Other _____

Prominent Influential Person or Politically Exposed Person

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐
(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify _____

SECTION B - INSTITUTIONAL INVESTOR/LEGAL ENTITY

Entity Type:

- Charity, foundation, NPO registered/ regulated ☐
- Charity, foundation, NPO unregistered/unregulated ☐
- Close Corporation ☐
- Collective Investments Schemes/ Investment Fund (regulated) ☐
- Listed Company ☐
- Nominee Company/LISPS (regulated) ☐
- Partnerships ☐
- Private Company (LLC / INC / LTD) ☐
- Trusts ☐
- Retirement/Pension/Provident funds ☐
- Unincorporated Entities or Other Legal Persons (church, school, club, university, stokvel, etc.) ☐

Other (Please Specify) _____

Industry Type:

- Aerospace & Defense ☐
- Agriculture, Forestry & Fishing ☐
- Banks/Financial Services ☐
- Casinos ☐
- Communication & Technology ☐
- Construction & Engineering ☐
- Digital Assets/Crypto Fund ☐
- Diversified Metals & Mining ☐
- Education ☐
- Entertainment & Recreation ☐
- Healthcare Services ☐
- Internet Gambling/Online Betting Entity ☐
- Manufacturing ☐
- Precious Metals & Minerals ☐
- Real Estate Services ☐
- Retail ☐
- State Owned Entity/Government ☐
- Transportation, Storage & Logistics ☐
- Utilities ☐

Other (Please Specify) _____

Is the Entity domiciled in South Africa? ☐ Yes ☐ No

If no, please state where? _____

Is your bank account domiciled in South Africa? ☐ Yes ☐ No

If no, where is your bank domiciled? _____

Source of wealth or income (FR reserves the right to request additional supporting documents)
(Definition: The financial activities that have generated the investor's net-worth)

- Business Operating Income ☐
- Commission ☐
- Company Profits ☐
- Member Contributions ☐
- Retained Earnings ☐
- Trust Income ☐

Other (Please Specify) _____

ANNEXURE A: BENEFICIAL OWNERS AND AUTHORISED SIGNATORIES

Important Information

The Financial Intelligence Centre Act no. 38 of 2001 (FICA) obliges FR to verify the identity of each beneficial owner and authorised persons.

Each of the following **natural persons** must complete this Annexure A:

1. If the legal entity is a **COMPANY (listed or unlisted)** complete the below and provide a copy of ID or passport and proof of address (foreign nationals) for:
   - All directors
   - All authorised signatories
   - Each natural person who independently or together with another person has a controlling ownership interest of 5% or more in the company; or
   - Each natural person who exercises control of the company through other means, including through his or her ownership or control of the company; AND
   - Each natural person who exercises control over the management of the company (CEO, Manager)

   Provide proof of confirmation of shareholding: Shareholding certificates (with organogram reflecting percentage shareholding), OR organogram of company structure reflecting percentage shareholding signed by director, OR confirmation of shareholding on a company letterhead signed by company secretary.

1.1. If the shareholder having 5% or more shareholding is a **Trust**, provide copies of the Trust Deed, LOA, IDs, death certificate (in the event of Founder, Trustee or beneficiary being deceased) and completed Annexure A and copy of ID or passport and proof of address (foreign nationals) for all beneficiaries, trustees and founder.

1.2. If the shareholder having 5% or more shareholding is a **Legal Person** (listed and unlisted company), provide the following: Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout and completed Annexure A and copy of ID or passport and proof of address (foreign nationals) for each director and each natural person who exercises control over the management of the company (if not appointed as director).

2. If the legal entity is a **TRUST**, complete the below for each trustee, each beneficiary and the founder of the Trust and all authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

   Provide a death certificate in the event of Founder, Trustee or beneficiary being deceased and updated LOA in the event of Trustee becomes deceased or resigns as Trustee. If the Trustee is a corporate Trustee represented by a representative, please provide documents as per point 2 in Annexure B, FICA Requirements for the corporate Trustee and provide documents for the representative.

2.1. If the Founder or Beneficiaries of the Trusts are **Legal Entities**, please provide documents as per point 2 in Annexure B, FICA Requirements.

3. If the legal entity is a **PARTNERSHIP** or a **CLOSE CORPORATION**, complete the below for every partner and person who exercises control over the partnership, member and authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

4. If the legal entity is an **OTHER LEGAL ENTITY** (Clubs, churches, unions, etc), complete the below for all members and authorised signatories, and provide copy of ID or passport and proof of address (foreign nationals) for each.

5. If any natural person is appointed as per discretionary mandate, complete the below for mandated person, and provide copy of ID or passport and proof of address (foreign nationals) for each.

6. If any natural person has power of attorney who is authorised to represent or act on behalf of the legal entity, complete the below for the person who holds power of attorney, and provide copy of ID or passport and proof of address (foreign nationals).

Please complete the following for each beneficial owner/related party and each representative acting on behalf of the Institutional Investor/ Legal Entity: *If you need to list more than 6 Persons, please copy page 7.

NATURAL PERSON

Type (Complete for each natural person)

Full Name(s) & Surname, and Physical Address	Date of Birth	Identification number / Passport number (if foreign national)	Country of Residence
1.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

2.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

3.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

NATURAL PERSON

Type (Complete for each natural person)

Full Name(s) & Surname, and Physical Address	Date of Birth	Identification number / Passport number (if foreign national)	Country of Residence
4.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

5.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

6.			
Physical Address:			

Telephone (H) Telephone (W) Mobile

Authorised Signatory ☐ Beneficiary ☐ Director ☐ Founder ☐

Member ☐ Partner ☐ Power of Attorney ☐ Trustee ☐

Natural person who owns controlling shares of 5% or more ☐ Natural person who exercises control over management ☐ Natural person who exercises control of the company through other means (nominee shareholders) ☐

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

ANNEXURE B: FICA REQUIREMENTS

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the Fundrock Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

FINANCIAL INTELLIGENCE CENTRE ACT NO 38 OF 2001 (FICA)

The Financial Intelligence Centre Act no 38 of 2001 (FICA), which came into effect on 30 June 2003, obligates FR to request certain mandatory information before entering into a financial transaction with the Client. Details of the information and documentation required from Clients are set out below. FR reserves the right to request additional supporting documents.

1. NATURAL PERSONS

1.1. SA Citizen/Resident

1.1.1. Copy of your ID Card back and front (South African citizens)

* South African citizens: a passport /driver's license containing the above information will only be accepted with a written reason for the unavailability of the ID document/Card

1.2. Foreign Nationals

1.2.1. Copy of valid passport if Foreign National

1.2.2. Proof of address (not older than 3 months)

1.3. Legal Incapacity

1.3.1. Document(s) set out above iro both parties (1.1.1 or 1.2.1)

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

1.4. Third Party Representing another Individual/Power Attorney

1.4.1. Copy of identity document of the third party/representative individual and the client

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

1.5. Minors

1.5.1. Copy of the Birth Certificate (abridged or unabridged) / Identity document

1.5.2. Copy of the identity document for the Guardian/Parent/s

1.5.3. In the case of a guardian, provide documents confirming legal guardianship

1.5.4. Proof of Bank Details of the minor

2. LEGAL PERSONS

2.1. SA Companies (listed and unlisted)

2.1.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout

2.1.2. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)

2.1.3. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company

2.1.4. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.2. SA Close Corporations

2.2.1. Founding Statement or Certificate of Incorporation (CK1) or most recent CIPC printout

2.2.2. Amended Founding Statement (CK2) (if applicable for name change)

2.2.3. Proof of Authority to act on behalf of Closed Corporation (e.g. resolution)

2.2.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for natural person who owns controlling interest, all members AND each authorised person

2.3. Foreign Companies (listed and unlisted)

2.3.1. Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company

2.3.2. Certificate of Incorporation or foreign equivalent reflecting registration address of the company

2.3.3. Proof of Authority to act on behalf of the company (e.g. Board resolution)

2.3.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), and natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company (i.e. nominee shareholders of controlling shares)

2.3.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.3.6. Proof of address (not older than 3 months) for each foreign natural person

2.4. Partnership

2.4.1. Copy of Partnership Agreement

2.4.2. Proof of Authority to act on behalf of the partnership (e.g. Board resolution, court order)

2.4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

2.4.4. Completed Annexure A for each partner, each authorised person and each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

3. TRUSTS

3.1. Copy of Letters of Authority reflecting name and registration number of the Trust stamped by the Master of the High Court
3.2. Copy of the Trust Deed
3.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals) for all founders, all beneficiaries, all Trustees and all persons acting on behalf of the Trust
3.4. Copy of Trustee resolution
3.5. Completed Annexure A for each Founder, Trustee, Beneficiary and all persons acting on behalf of the Trust
3.6. Provide death certificate in event of Founder, Trustee or beneficiary being deceased. Should a Trustee become deceased or resign, a new Letter of Authority must be obtained from the Master of the High Court or Endorsement letter stamped by the Master of High Court
3.7. If the Trustee is a corporate Trustee represented by a representative, please provide documents as per point 2

4. TESTAMENTARY TRUSTS

4.1. Letters of Authority issued by Master of High Court
4.2. Copy of Trustee resolution/power of attorney
4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all Trustees, Beneficiaries and authorised persons
4.4. Completed Annexure A for all Trustees, Beneficiaries and authorised persons and authorised person

5. RETIREMENT FUNDS/PROVIDENT FUNDS

5.1. Copy of FSCA document reflecting the funds registration number and fund name
5.2. Proof of Authority to act on behalf of Retirement Fund (e.g. resolution)
5.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons and all trustees
5.4. Completed Annexure A for each authorised person and each trustee
5.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the Retirement Fund, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the Retirement Fund

6. OTHER LEGAL ENTITIES

(Unions, Clubs, Churches, NPOs, Stokvels, Associations, Schools, Universities, etc.)

6.1. Founding document or Document of constitution or Registration certificate
6.2. List of all members
6.3. Resolution signed by all members appointing authorised signatories
6.4. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, members and management
6.5. Completed Annexure A for all members, management and authorised persons of the legal entity
6.6. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the legal entity, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the legal entity
6.7. Proof of Authority to act appointing 3rd party (e.g. mandate, resolution, power of attorney)

7. COLLECTIVE INVESTMENTS (FUNDS)

7.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
7.2. Copy of schemes FSCA approved Supplemental Deed or foreign equivalent
7.3. Proof of authority to act on behalf of CIS (e.g. Resolution)
7.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
7.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
7.6 AML Comfort letter confirming compliance

8. LINKED INVESTMENT SERVICE PROVIDER (LISP)

8.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
8.2. Copy of FSCA document reflecting the LISPS registration number
8.3. Proof of authority to act on behalf of LISP (e.g. Resolution)
8.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
8.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
8.6 AML Comfort letter confirming compliance

DEFINITIONS

DOMESTIC POLITICALLY EXPOSED PERSON (DPEP)

Domestic Politically Exposed Person (DPEP)	***An individual who holds, including in an acting position for a period exceeding six months, or has held a prominent public function in South Africa, including that of:*** *a. the President or Deputy President;* *b. a government minister or deputy minister;* *c. the Premier of a province;* *d. a member of the Executive Council of a province;* *e. an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998;* *f. a leader of a political party registered in terms of the Electoral Commission Act, 1996;* *g. a member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003;* *h. the head, accounting officer or chief financial officer of a national or provincial department or government component, as defined in section 1 of the Public Service Act, 1994;* *i. the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 or a chief financial officer designated in terms of section 80 (2) of the Municipal Finance Management Act, 2003;* *j. the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999;* *k. the chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000;* *l. a constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001;* *m. an ambassador or high commissioner or other senior representative of a foreign government based in the Republic; or* *n. an officer of the South African National Defence Force above the rank of major-general;* ***or 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.***

FOREIGN POLITICALLY EXPOSED PERSON (FPEP)

Foreign Politically Exposed Person (FPEP)	***An individual who holds, or has held, in any foreign country a prominent public function including that of a:*** *a. Head of State or head of a country or government;* *b. member of a foreign royal family;* *c. government minister or equivalent senior politician or leader of a party;* *d. senior judicial official;* *e. senior executive of a state-owned corporation; or* *f. high-ranking member of the military.*

PROMINENT INFLUENTIAL PERSON (PIP)

Prominent Influential Person (PIP)	***An individual who holds or has held at any time in the preceding 12 months, the position of:*** *a. chairperson of the board of directors;* *b. chairperson of the audit committee;* *c. executive officer; or* *d. chief financial officer,* ***of a company that is defined in the Companies Act No. 71 of 2008 if the company provides goods or services to an organ of state.***

FAMILY MEMBER AND KNOWN CLOSE ASSOCIATE OF A DPEP AND FPEP

Family member and known close associate of a DPEP and FPEP	***Family members and known close associates include:*** *a. the spouse, civil partner, or life partner;* *b. the previous spouse, civil partner, or life partner, if applicable;* *c. children and stepchildren and their spouse, civil partner, or life partner;* *d. parents;* *e. sibling and step sibling and their spouse, civil partner, or life partner; and* *f. individuals who are closely connected to a prominent person, either socially or professionally and who can conduct transactions on behalf of the DPEP/FPEP.*