

Client Compliance Certification

Existing Investor

Legal Entity



1. What you need to know

- In order to comply with regulation, you are required to confirm your details periodically even if no changes have occurred. All fields are mandatory. Before completing this form, please read the latest relevant Investment Agreement, which can be accessed from our website: www.nedgroupinvestments.com, your financial planner or our Client Services Centre.
- Please email your completed and signed instruction to instructions@nedgroupinvestments.co.za. We will process your instruction once:
 - We have received, reviewed, and accepted your completed and signed form
 - We have received all regulatory documentation for the legal entity and all related parties as specified in the application form and the FICA check list
 - We have performed all checks, verifications and assessments required in terms of regulation
- The daily cut-off for receipt of instructions is 14:00 on any business day.
- Information filled in outside of the relevant fields will not be considered when processing your instruction.
- If you have any questions about this form, please contact your Client Relationship team, financial planner or our Client Services Centre on 0800 123 263 (from within SA) or on +27 21 412 2003 (from outside SA).

1. Investor details

Investor number

Please note:

All fields must be completed to process your instruction.

Entity type

- | | | |
|--|---|--|
| <input type="checkbox"/> South African listed company | <input type="checkbox"/> Government entity / SOE | <input type="checkbox"/> Professional Partnership/
Incorporated Company |
| <input type="checkbox"/> Public Company | <input type="checkbox"/> Retirement fund | <input type="checkbox"/> Higher education institution |
| <input type="checkbox"/> Private Company before May 2011 | <input type="checkbox"/> Investment schemes manager | <input type="checkbox"/> Intervivos Trust created in
South Africa |
| <input type="checkbox"/> Private Company after May 2011 | <input type="checkbox"/> Medical aid | <input type="checkbox"/> Intervivos Trust created outside
of South Africa |
| <input type="checkbox"/> Close corporation | <input type="checkbox"/> Long-term insurer | <input type="checkbox"/> Testamentary Trust created in
South Africa |
| <input type="checkbox"/> Non-profit company | <input type="checkbox"/> Unregulated fund / Association | <input type="checkbox"/> Testamentary Trust created
outside of South Africa |
| <input type="checkbox"/> Foreign company | <input type="checkbox"/> Partnership | |

Entity details

Registered name

Trading name local

Trading name foreign

Registration number

Country of
organisation or
incorporation

Date of incorporation

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Contact details

Registered address

Code

Country

South Africa

If other

Physical business
address

Code

If other

Country

South Africa

Postal address
(if different)

Code

Country

South Africa

If other

Place of effective
management

Country

Please note:

Country of effective management is the country in which the most senior persons make key and strategic decisions for the entity.

3. Income verification and FICA

This information is an anti-money laundering requirement enforced by the Financial Intelligence Centre Act, 38 of 2001 (FICA).

What industry do you operate in (excluding Trusts)?

- | | |
|--|--|
| <input type="checkbox"/> Accommodation / Hospitality services | <input type="checkbox"/> Information / Technology / Communication |
| <input type="checkbox"/> Administrative / Support services | <input type="checkbox"/> Manufacturing |
| <input type="checkbox"/> Adult entertainment industry | <input type="checkbox"/> Mining – General |
| <input type="checkbox"/> Agriculture / Forestry / Fishing | <input type="checkbox"/> Mining – Precious and Semi-Precious metals/stones |
| <input type="checkbox"/> Art dealers | <input type="checkbox"/> Money service bureaus |
| <input type="checkbox"/> Arts / Entertainment / Recreation | <input type="checkbox"/> Non-profit / Religious |
| <input type="checkbox"/> Banking | <input type="checkbox"/> Other non-bank financial institutions |
| <input type="checkbox"/> Cannabis industry | <input type="checkbox"/> Pawn brokers |
| <input type="checkbox"/> Cash aggregators | <input type="checkbox"/> Professional / Scientific / Technical services |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Public sector financial corporations |
| <input type="checkbox"/> Craft / Trade / Artisanal | <input type="checkbox"/> Real estate |
| <input type="checkbox"/> Cryptocurrency exchanges | <input type="checkbox"/> Scrap metal merchants |
| <input type="checkbox"/> Defence / Social security | <input type="checkbox"/> Second-hand dealers |
| <input type="checkbox"/> Financial / Investment / Insurance activities | <input type="checkbox"/> Sports |
| <input type="checkbox"/> Gambling | <input type="checkbox"/> Third-party payments |
| <input type="checkbox"/> Government / Municipal services / SOE | <input type="checkbox"/> Transportation / Storage |
| <input type="checkbox"/> Human health / Social work / Education | <input type="checkbox"/> Wholesale / Retail trade |

For Trusts only: What is the purpose of the Trust?

- | | |
|--|---|
| <input type="checkbox"/> Administration and allocation of the assets of an estate | <input type="checkbox"/> Public Benefit Activities |
| <input type="checkbox"/> Asset / Investment ownership (tangible / intangible) | <input type="checkbox"/> Rehabilitation or Environmental |
| <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Research and Development |
| <input type="checkbox"/> Charitable and Educational
(for the benefit of class or third-party) | <input type="checkbox"/> Security Trust |
| <input type="checkbox"/> Empowerment Trust | <input type="checkbox"/> Share incentive scheme |
| <input type="checkbox"/> Hedge Fund | <input type="checkbox"/> Trading / Carrying on of a business |
| <input type="checkbox"/> Maintenance of a spouse and/or children | <input type="checkbox"/> Wealth preservation / Asset protection / Estate plan |
| <input type="checkbox"/> Maintenance of disabled persons / minors | <input type="checkbox"/> Other activity |

For Trusts only: Court where the Trust was established

Address of Master of
the High Court

Country

South Africa

If other

Nature of legal entity activity

- | | |
|--|---|
| <input type="checkbox"/> Customer service | <input type="checkbox"/> Marketing |
| <input type="checkbox"/> Distribution | <input type="checkbox"/> Non--profit organisation |
| <input type="checkbox"/> Educational institution | <input type="checkbox"/> Production and supply |
| <input type="checkbox"/> Entertainment / Hospitality | <input type="checkbox"/> Trust management |
| <input type="checkbox"/> Financial services | <input type="checkbox"/> Sales |
| <input type="checkbox"/> Maintenance | <input type="checkbox"/> Wholesale and retail |
| <input type="checkbox"/> Management | |

What is your source of wealth?

- | | |
|---|--|
| <input type="checkbox"/> Business proceeds / Company profits / Client contributions | <input type="checkbox"/> Property investment portfolio |
| <input type="checkbox"/> Investments / Maturing investments / Encashment Claim | <input type="checkbox"/> Legal settlement |
| <input type="checkbox"/> Share capital | <input type="checkbox"/> Loan |
| <input type="checkbox"/> Sale of assets | |

How are you funding your investment contributions?

- | | |
|--|---|
| <input type="checkbox"/> Business proceeds / Company profit / Client contributions | <input type="checkbox"/> Rental / Leasing income |
| <input type="checkbox"/> Donations | <input type="checkbox"/> Venture capital |
| <input type="checkbox"/> Dividend and interest income | <input type="checkbox"/> Royalties and licence fees |
| <input type="checkbox"/> Government grants and subsidies | <input type="checkbox"/> Shareholding in other legal entity |
| <input type="checkbox"/> Sale of assets | <input type="checkbox"/> Trading in financial instruments |

Intended purpose of investment

Please complete only for the product(s) you are invested in.

Unit trust

- | | |
|--|--|
| <input type="checkbox"/> Invest for 0 – 3 years | <input type="checkbox"/> Invest a single amount with frequent withdrawals |
| <input type="checkbox"/> Invest for 3 – 5 years | <input type="checkbox"/> Invest multiple amounts with frequent withdrawals |
| <input type="checkbox"/> Invest for over 5 years | <input type="checkbox"/> Invest a single amount with occasional withdrawals |
| | <input type="checkbox"/> Invest multiple amounts with occasional withdrawals |

Nature of relationship with Nedgroup Investments

Endowment

Invest for over 5 years

Invest a single amount with frequent withdrawals

Invest multiple amounts with frequent withdrawals

Invest a single amount with occasional withdrawals

Invest multiple amounts with occasional withdrawals

4. Tax information

It is mandatory to classify yourself in this section, for guidance please refer to the Legal entities tax residency classification (FATCA and CRS) available from our Client Services Centre or consult your professional tax advisor with respect to the entity's tax residency and any related guidance on the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

The Tax Administration Act 28 of 2011 (adopting aspects of FATCA and CRS for Automatic Exchange of Financial Information) require us to collect certain information about investors' tax arrangements:

- Please complete the section below as directed and provide any additional information that is requested
- Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with SARS who may in turn share this information with other relevant tax authorities
- If any of the information below changes in the future, please advise us of these changes promptly

Is South Africa the entity's country of primary tax residence? Yes No

Is the entity registered to pay tax in South Africa? Yes No

If 'Yes', please provide the entity's South African tax number:

Is the entity VAT registered in South Africa? Yes No

If 'Yes', please provide the entity's VAT number:

Part 1: Certify country of residence for tax purposes

Is the entity incorporated, organised or have a place of effective management outside of South Africa? Yes No

Does the entity have tax obligations, tax liabilities or tax residencies outside of South Africa? Yes No

Do any of the controlling persons of the entity:

(a) hold US citizenship, or are they a US person or a US national and/or Yes No

(b) have tax obligations, tax liabilities or tax residencies outside of South Africa? Yes No

Part 2: Certify United States (US) tax residency

Is the entity incorporated or organised in the US? Yes No

Is the entity a trust that a US court would have jurisdiction over or a trust where one or more US person(s) would have the authority to control decisions of the trust? Yes No

Does the entity have any tax obligations in the US? Yes No

Please note:

- If 'Yes' is selected for any of the questions in Part 2 above, please complete an IRS W-9 form for the entity
- If the entity is NOT incorporated or does NOT have a place of effective management in the United States (US), but has a US physical or postal address, please complete an IRS W-8BEN-E form
- Forms can be found on www.irs.gov – the website of the Internal Revenue Service for the United States

If 'Yes', is selected for any of the questions in Part 1 or Part 2 above, please complete the following section:

Country of tax residency	Tax identification number (TIN)	TIN not applicable reason		
		A	B	C
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please note:

If you are unable to provide a TIN number, please indicate the relevant reason:

Reason A: Your country does not issue TIN's to its tax residents. (This does not apply to US tax residents.)

Reason B: Your tax authority does not need you to provide a TIN. (This does not apply to US tax residents.)

Reason C: You have not or did not register for a TIN with your tax authority.

Withholding tax declaration (if you have an investment in a Unit Trust)

Declaration for exemption from Dividend Withholding Tax in respect of withholding agent tax

reference number 9567186847 registered name Nedgroup Collective Investments (RF) Pty Ltd.

I/We declare that the legal entity is a resident for tax purposes in South Africa and therefore Interest withholding Tax (IWT) will not apply to the legal entity's investment and that distributions from real estate investment trust constitute income that needs to be filed in the legal entity's annual tax return as Nedgroup Investments will not withhold tax on its behalf.

We further declare that the legal entity qualifies for the DWT exemption for the following reason:

Please indicate the reason for the exemption by ticking the relevant block

- A A company which is a resident
- B The government, a provincial administration or municipality
- C Public Benefit Organisations (approved in terms of section 30(3) of the Act)
- D Mining rehabilitation trusts (section 37 of the Act)
- E Section 10(1)(cA) persons
- F Section 10(1)(d) funds (e.g. pension funds, provident funds and medical schemes)
- G Section 10(1)(t) persons (e.g. CSIR and SANRAL)
- H Shareholders in a registered micro business (6th Schedule to the Act) (insofar as dividends do not exceed R200,000 per year)
- I A small business funding entity as contemplated in section 10(1)(cQ)
- J Non-residents receiving dividends from foreign companies listed on the Johannesburg Stock Exchange
- K Portfolios of collective investment schemes in securities
- L Any person to the extent that the dividend constitutes income of that person
- M Any person to the extent that the dividend was subject to the STC
- N Fidelity or indemnity funds contemplated in section 10(1)(d)(iii)

I/We declare that the legal entity is not a South African resident for tax purposes and therefore will be subject to the default DWT rate of 20% and default of 15% on local interest.

I/We declare that the legal entity is not a South African resident for tax purposes but there is a double taxation agreement (DTA) in place between South Africa and its country of tax residence.

Please specify the country with which the double taxation agreement exists

5. Entity classification under FATCA and CRS

Please note:

- The entity would be regarded as a financial institution where the entity:
- Has a banking, credit or similar license and is regulated by a financial services oversight body
- Offers any of the following types of accounts: deposit accounts, custodial accounts, cheque accounts, savings accounts, etc
- Primarily exists to hold shares (i.e. the entity is a holding company), including shares of banks, investment entities or custodial entities
- Is a treasury centre that holds shares in banks, investment entities or custodial entities
- Issues cash value insurance or annuity contracts
- Provides clients with investment advice, administration services or management services
- Primarily conducts business or markets itself as an investment entity or similar vehicle (i.e. the entity invests, reinvests or trades in financial assets)
- Is a retirement or pension fund
- Is a fiduciary structure (e.g. trust, foundation, domiciliary company, partnership, etc.) that is professionally managed. (An entity will be regarded to be “managed by an entity” if the entity who manages it has the discretionary authority to manage the first-mention entity’s assets)

Is the entity a financial institution? Yes No

If 'Yes', please select one of the following:

Financial institutions				
FATCA		Entity	Description	CRS
South African financial institutional or partner jurisdiction financial institution	<input type="checkbox"/>	*Investment entity	An entity, or an entity that is managed by an entity, that trades in money market instruments or manages individual or collective portfolios or otherwise invests, administers, or manages funds or money on behalf of other persons.	Financial Institution under CRS
	<input type="checkbox"/>	Depository institution	An institution that accepts deposits in the ordinary course of a banking or similar business.	
	<input type="checkbox"/>	Custodial institution	An institution that holds, as a substantial portion of its business (being 20% or more), financial assets for the accounts of others, which relates to safe keeping or record keeping of such assets on behalf of investors. (e.g. CSDP)	
	<input type="checkbox"/>	Insurance company	A specified insurance company that issues, or is obligated to make payments with respect to, a cash value insurance contract or an annuity contract (e.g. life insurance company).	
Non-participating Foreign Financial Institution	<input type="checkbox"/>	Investment entity – non-participating jurisdiction	An investment entity that is resident in a non-participating jurisdiction and is managed by another financial institution in a participating jurisdiction.	A non-participating professionally managed Investment Entity
	<input type="checkbox"/>	Non-participating foreign financial institution	A financial institution that meets the definition of a non-participating foreign financial institution (NPFPI).	Not reportable for CRS

Please provide a Global Intermediary Identification Number (GIIN):

GIIN

If 'No', please select one of the following:

Non-Financial institutions				
FATCA		Entity	Description	CRS
Active non-financial Entity	<input type="checkbox"/>	SA non-profit	A non-profit entity that is registered as a public benefit organisation (PBO) with the South African Revenue Service.	Active non-financial Entity
Active non-financial foreign entity	<input type="checkbox"/>	Entity earning active income	An entity that earns more than 50% of its income from business activities and more than 50% of its assets produce business income and not passive income.	Active non-financial foreign entity
	<input type="checkbox"/>	International non-profit	An international organisation where the income of which does not benefit private persons (e.g., European Union, World Health Organisation or NATO) including any intergovernmental organisation primarily comprised of governments.	
Not reportable for FATCA	<input type="checkbox"/>	Regularly traded	An entity whose shares are regularly traded on an established stock exchange or an entity that is related (e.g. related by ownership greater than 50%) to another entity whose shares are regularly traded on an established stock exchange.	Not reportable for CRS
	<input type="checkbox"/>	Governmental entity	A governmental entity or division (which includes a state, province, county, or municipality) or a public body performing a function of such government.	
	<input type="checkbox"/>	Central bank	A reserve bank.	
	<input type="checkbox"/>	Group financing company	Entities (e.g. related by ownership greater than 50%) that are not financial institutions and does not provide financing to any entity that is not a related entity.	
	<input type="checkbox"/>	Startup trading entity	An entity not yet operating a business and has no prior operating history but is investing capital in assets with the intent of operating a business other than that of a financial institution.	
	<input type="checkbox"/>	Treasury centre	A treasury centre or holding company of a non-financial group whose activities consist of holding shares and providing financing to one or more subsidiaries that engage in businesses other than the business of a financial institution.	
	<input type="checkbox"/>	Liquidated or reorganised	An entity that is in the process of, or has been through, liquidation or reorganization into a business other than that of a financial institution.	
South African financial institutional or partner jurisdiction financial institution	<input type="checkbox"/>	*Trustee-documented trust	A trust that has appointed a financial institution in a fiduciary capacity to carry out the day-to-day functions of the trust. The trust can therefore be seen as professionally managed by another financial institution.	

Non-Financial institutions				
FATCA		Entity	Description	CRS
Specified US Person	<input type="checkbox"/>	US entity	A US territory entity organized in a US territory and of which all owners are bona fide residents of that US territory.	Not reportable for CRS
	<input type="checkbox"/>	Direct US ownership	An entity that reports information about its direct or indirect substantial US owners - Direct-reporting NFE.	
Passive non-financial entity	<input type="checkbox"/>	*Entity earning passive income	An entity that earns more than 50% of its gross income from passive income (e.g. dividends, interest, royalties, annuities and rent).	Passive non-financial entity

*** Please complete all relevant sections for controlling persons on the 'Related party addendum'**

6. Identification of the Legal Entity's Related Parties for the purpose of Regulatory Requirements

The Financial Intelligence Centre Act 38 of 2001 (FICA), requires us to identify investors, prospective investors and their beneficial / controlling persons and to confirm their identities before accepting an application. We do this to prevent identity theft or fraud and to prevent money laundering and terrorist financing.

The Tax Administration Act 28 of 2011 (adopting aspects of FATCA and CRS for Automatic Exchange of Financial Information) requires us to collect certain information about certain investors and its Controlling Persons' tax arrangements. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's investment, with relevant authorities.

The Related Parties identified below will be verified against the relevant documentation, which will be required to accompany this application form.

Full Name / Legal Entity Name	Shareholder percentage	Please select the relevant roles applicable to the person / legal entity					
		Primary contact person	Alternate contact person	Authorised persons (signatories)	Associated persons	Beneficial owners	Controlling persons
	%						

Investor / Authorised signatory

Authorised signatory 1

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name

Capacity

Authorised signatory 2

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name

Capacity

Authorised signatory 3

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name

Capacity

Authorised signatory 4

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name

Capacity

Nedgroup Investments

Nedbank Clocktower Clocktower Precinct V&A Waterfront Cape Town 8001 PO Box 1510 Cape Town 8000 South Africa

Nedgroup Investments Proprietary Limited (Company registration number 1996/017075/07)

Incorporating Nedgroup Collective Investments (RF) Proprietary Limited (Company registration number 1997/001569/07)

Nedgroup Investment Advisors Proprietary Limited (Company registration number 1998/017581/07) an authorised Financial Services Provider (FSP licence number 1652)

Directors: NA Andrew, RC Williams

www.nedgroupinvestments.com