

## LUMP SUM ADDITIONAL INVESTMENT APPLICATION FORM

To be completed by clients who already have Satrix Investments and who wish to make additional contributions to their investments.

Please complete this application form and submit to the relevant contact centre. When emailing your documentation please ensure that the size limits of your attachments do not exceed 5MB. Should you have any queries, please contact the relevant Call Centre.

### Application Details

#### 1. INVESTOR DETAILS

SATRIX Investor Code: \_\_\_\_\_

Title: \_\_\_\_\_ First Names: \_\_\_\_\_

Surname / Legal Entity Name: \_\_\_\_\_

Identity No. / Passport No.: \_\_\_\_\_ Date of birth: 

D	D	M	M	Y	Y	Y	Y
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Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Home Tel No.: \_\_\_\_\_ Office Tel. No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_ Cellular No.: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

#### 2. PLEASE INVEST MY LUMP SUM CONTRIBUTION AS FOLLOWS

##### 2(a). TAX FREE SAVINGS OPTION

Is the tax free savings option applicable to this application? ☐ Yes ☐ No

- The tax free investments allows you to make flexible contributions and does not require you to commit to any future contributions.
- Please note that contributions to tax free investments are only applicable to individual SA citizens and is limited to R30 000 per tax year and R500 000 over a lifetime. Contributions above R30 000 annual limit will incur a tax penalty.

##### 2(b). SOURCE OF FUNDS

☐ Salary ☐ Policy ☐ Donation ☐ Gift ☐ Savings ☐ Investment ☐ Inheritance

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

##### 2(c). FUND SELECTION

Please ensure that the amounts allocated across investments below add up to your total lump sum or monthly debit order amounts.  
 (View our Minimum Disclosure Documents (MDDs) on our website [www.satrix.co.za](http://www.satrix.co.za))

ETF Selection	Value	ETF Selection	Value
1. <input type="text"/>	R <input type="text"/>	6. <input type="text"/>	R <input type="text"/>
2. <input type="text"/>	R <input type="text"/>	7. <input type="text"/>	R <input type="text"/>
3. <input type="text"/>	R <input type="text"/>	8. <input type="text"/>	R <input type="text"/>
4. <input type="text"/>	R <input type="text"/>	9. <input type="text"/>	R <input type="text"/>
5. <input type="text"/>	R <input type="text"/>	10. <input type="text"/>	R <input type="text"/>

Income Distribution Instruction\*: ☐ Re-invest ☐ Pay out

\* NB: All distributions less than R100.00, per portfolio, will automatically be re-invested.

\*\* All income in the SATRIX RAFI 40, which is a total return fund, is automatically reinvested in the portfolio on the date of receipt by the asset manager.

## 2(d). WAYS TO PAY

- All deposits must be in South African Rands or we will return the funds.
- There may be a delay between when you deposit your funds and when they actually reflect in our account.

## LUMP SUM DEPOSIT BANK DETAILS

Transactions will only be traded upon confirmed receipt of documentation and funds are reflected in the relevant bank account. Please include your proof of payment with this application form (deposit slip; electronic payment confirmation). Please note that as per banking legislation, cheque deposits will need to undergo a clearing period of 10 calendar days within the Rand Monetary Area, and 15 calendar days outside the Rand Monetary Area (i.e.: Lesotho, Namibia and Botswana). The funds will therefore only be available for investment after the clearing period has lapsed.

<input type="checkbox"/> Direct deposit	Total:	<input type="text"/>
<input type="checkbox"/> Electronic transfer	Total:	<input type="text"/>

### ETF Lump sum payments should be made to:

#### SATRIX Managers (RF) (Pty) Ltd

Bank: ABSA Bank  
Branch: Investor Services  
Branch Code: 336005  
Account No.: 4064804630  
Reference: **Please use your Investor Code OR SA ID number.**

## 3. TERMS AND CONDITIONS

### 3.1 How we process your personal information

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

### 3.2 Unclaimed assets and how they affect you

- As a member of the Association for Savings and Investment SA (ASISA), we follow ASISA's Unclaimed Assets standard. An unclaimed asset is any investment on which there have been no transactions for **ten years**, or in the case of a deceased estate, **more than three years** have passed since we have received the notice of death. Our policy is to continue reinvesting all income distributions (interest) and redemption payments until the investment is sold, regardless of the time frame.
- According to ASISA's Unclaimed Assets standard, we follow a process of tracing investors or beneficiaries on any unclaimed assets. Any reasonable administrative and costs incurred to trace the investor may be recovered from the value of the portfolio, thereby reducing the value of your investment. Tracing will cease where the value of the investment is less than R1000 and the costs of tracing exceeds the benefit of tracing. More information on the ASISA Standard on Unclaimed Assets and the processes is available on [www.asisa.org.za](http://www.asisa.org.za).
- Please note that to prevent your investment becoming an unclaimed asset, it is your responsibility to inform us of any change in your personal information.

### 3.3 Update your personal details

It is your responsibility to keep us informed of any changes in your banking details, personal information or current identification information (e.g. change of address, change of surname and contact details). If any of your details have changed, please contact the Call Centre.

### 3.4 Complaints procedure

We want to give you outstanding client service, but sometimes things go wrong. If you are dissatisfied with our service, or any of our products have disappointed you, we would like to hear about it. Please contact the Administrator on Tel: 0861 100 670, email: [satrix@aospartner.com](mailto:satrix@aospartner.com) and inform them of the complaint.

Should you fail to receive service from the Administrator that satisfies your complaint, you may wish to contact SATRIX Managers (RF) (Pty) Ltd directly: [complaints@satrix.co.za](mailto:complaints@satrix.co.za).

Your views are very important to us. When we receive your complaint, a competent team, specifically trained to handle and resolve complaints, will investigate it and try to resolve it **as soon as possible** in a fair manner. If the complaint has not been resolved to your satisfaction, you may refer it to the Sanlam Arbitrator. The Sanlam Arbitrator is an impartial person that settles disputes between dissatisfied clients and Sanlam.

### Sanlam Arbitrator contact details:

Fax: +27 21 957-1786

Email: [arbitrator@sanlam.co.za](mailto:arbitrator@sanlam.co.za)

**4. FINANCIAL SERVICE PROVIDER** (If applicable)

*(If you are not using a Financial Adviser, this section of the application form does not need to be completed)*

Name of Financial Service Provider / Brokerage: \_\_\_\_\_

Financial Service Provider / Brokerage Code: \_\_\_\_\_

Name of Representative: \_\_\_\_\_

Representative Code: \_\_\_\_\_ Other Reference: \_\_\_\_\_

Branch Name: \_\_\_\_\_ Branch Code: \_\_\_\_\_

Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Office Tel No.: \_\_\_\_\_ Cellular No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_ Email Address: \_\_\_\_\_

**FINANCIAL SERVICE PROVIDER COMMISSION**

Initial Upfront Commission on investment   (Max 3%)

Annual Service Fee   (Max 1% p.a.)

**FINANCIAL SERVICE PROVIDER DECLARATION** (If applicable)

The Financial Service Provider / Representative, by appending his signature hereto, states and declares that he/she has read and understood the terms and conditions pertaining to this investment product and the investment media selected; warrants that all statements given by him in the application form are true and correct in every respect and that such statements, together with the Investment Confirmation, shall form the basis of the contract, which is to be entered into, between the Investor, and SATRIX Managers (RF) (Pty) Ltd, as well as the contract between the Investor and the Financial Service Provider / Representative (if applicable).

The Financial Service Provider / Representative further acknowledges and warrants that he/she has personally explained all the features of the product to the Investor.

The Financial Service Provider / Representative declares and confirms in terms of the Financial Intelligence Centre Act, No 38 of 2001 (FICA) that:

- he/she has taken all reasonable steps to establish the identity of the Investor before entering into a business relationship with him, or concluding a single transaction with him.
- he/she has verified the client information in accordance with the requirements set out in Section 21 of the FICA.
- he/she has obtained copies of the Investor's identification document and any other verification documentation required in terms of Section 22 of FICA, and is keeping record of the required documents.

The Financial Service Provider / Representative acknowledges that he/she has personally explained all the fees and commissions including all the risks associated with the investment choice, to the client.

Signed at \_\_\_\_\_

\_\_\_\_\_

Signature of authorised Financial Service Provider / Representative

\_\_\_\_\_

Date (ccyy-mm-dd)

**5. COMMUNICATION WITH SATRIX**

Please send all communication (including quarterly statement) via: ☐ Email ☐ Post

*(Unless otherwise instructed, SATRIX will send statements via email)*

## 6. INVESTOR DECLARATION

*(This declaration must be signed by all investors)*

- I warrant that I have the power and authority and am legally competent to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- I am aware that this product offers no cooling-off rights.
- I understand that this application is subject to the SATRIX Scheme's Supplemental Deed (the Deed) and that this application, read with the Deed, constitutes the entire agreement between SATRIX and myself.
- In terms of the Prevention of Organised Crime Act (No. 121 of 1998), I confirm that, in respect of this investment, the funds originate from a legitimate source. I further agree to answer any questions with regard to the source of the funds used for payment and to provide additional information as and when required by SATRIX.
- I am aware of the terms of dividend and interest withholding tax legislation. SATRIX will be obliged to withhold dividend and interest tax at a standard rate of 15% on all income and interest received. Should I qualify for an exemption or reduced rate of tax, the onus is on me to complete and submit the prescribed forms.
- I am aware of and consent to all costs relating to the investment. I know that the cost of buying/selling units may include an initial charge plus VAT and that there are no guarantees with regard to my capital. I acknowledge that there are further allowable deductions from the fund (e.g. an annual service fee) that impact on the value of my investment.
- I confirm that I understand the risk profile of the investment and that it is my obligation to familiarise myself with and accept the risks associated with this investment.
- I confirm that it is my responsibility to inform SATRIX of any changes in current identification information provided (e.g. change of address, change of surname or contact particulars).
- I confirm that it is my responsibility to assure receipt of any instruction to AOS via fax, e-mail or post.
- I have read and understood the contents of this application form and agree to be bound by the terms and conditions (refer to Annexure (A)).
- I confirm that I have received adequate information from my financial advisor or from SATRIX before completing this application form.
- I have read and understood the relevant Minimum Disclosure Documents (MDD) - Investment Objectives, Information on NAV, Charges, Risk Factors and Income Accruals.

Signed at \_\_\_\_\_

**Signature of Investor** (or duly authorised person/s for minor investors)

**Signature of Contact Person or Legal Guardian** (if Section 2 or 3 of this application is applicable)

**Date** (ccyy-mm-dd)

**Date** (ccyy-mm-dd)

## DISCLAIMER

Satrix Managers (RF) (Pty) Ltd (Satrix) is an authorised Financial Services Provider (FSP No. 15658) and a registered and approved manager of Collective Investment Schemes (CIS) in terms of the Collective Investment Schemes Control Act, 45 of 2002. Satrix is the manager of the Satrix Unit Trust Scheme and the Satrix Collective Investment Scheme in securities. The Satrix Collective Investment Scheme in securities (SATRIX securities), while registered as CIS, are listed on the JSE Limited, trade at JSE ruling prices via any stockbroker or trading platform, and will incur trading and settlement costs. The price at which participatory interests trades on an exchange may differ from the price at which the manager repurchases participatory interests. As with all stock exchange investments, the market price of SATRIX securities will fluctuate according to market conditions, general sentiment and other factors. Past performance is not necessarily a guide to future performance nor does the Manager provide any guarantee with respect to the capital invested, nor the return of a portfolio. Collective Investment Schemes in Securities (CIS) are generally medium to long term investments. Additional information regarding the Satrix product portfolio's, brochures, application forms, schedule of fees, charges and commissions, annual and quarterly reports, can be obtained from the Manager. Should the user of this document seek financial, tax, legal, and/or accounting advice, the user should obtain his/her own independent advice.