

# TRANSFER APPLICATION FORM

**To be completed when transferring between two investors already registered in the Satrix Investment Plan. A new business application form needs to be completed if either of the parties are not registered in the Satrix Investment Plan.**

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 ('transfer from' investor details)

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

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

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

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

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Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_

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

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

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

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

### 2. TRANSFER DETAILS

I/We hereby request the Administrator to transfer funds/units from my/our account as follows:

Transfer from Portfolio No.	Fund	Rand Amount	Or Units	Or %	Transfer to Investor Code	Transfer to Portfolio No.
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						

**PLEASE NOTE TERMS AND CONDITIONS OF ETF FUNDS:**

- The transfer will only be effected once all the relevant information and documentation is received and all account information as well as FICA is valid.
- The client must initial all amendments made to the Transfer Form.
- If the 'transfer to' investor is not an existing Satrix Investment Plan client, a New Business Application form needs to be completed and accompany this transfer application form.
- If more than 6 portfolio transfers are required, please complete an additional Transfer Form.
- There is a **40 day** holding period on Satrix securities/units bought with the most recent debit order

**3. 'TRANSFER TO' INVESTOR DETAILS (must be existing Satrix Investment Plan Client)**

To be completed for each 'transfer to' investor code entered above.

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

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

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

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

Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ Postal Code: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Home Tel No.: \_\_\_\_\_ Office Tel. No.: \_\_\_\_\_  
Fax No.: \_\_\_\_\_ Cellular No.: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

To be completed for each 'transfer to' investor code entered above.

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

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

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

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

Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_ Postal Code: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Home Tel No.: \_\_\_\_\_ Office Tel. No.: \_\_\_\_\_  
Fax No.: \_\_\_\_\_ Cellular No.: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

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

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

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

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

Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_ Postal Code: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Home Tel No.: \_\_\_\_\_ Office Tel. No.: \_\_\_\_\_  
Fax No.: \_\_\_\_\_ Cellular No.: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

**To be completed for each 'transfer to' investor code entered above.**

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

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

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

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

Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_

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

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

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

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

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

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

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

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

Residential Address/ Trading Address: \_\_\_\_\_ Postal Address: \_\_\_\_\_

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

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

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

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

#### 4. TERMS AND CONDITIONS

##### 4.1 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).

##### 4.2 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.

##### 4.3 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.

##### 4.4 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)

#### 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)

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

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

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

#### **DISCLAIMER**

SATRIX is an authorised financial services provider (FSP No. 15658) and a registered and approved Manager in Collective Investment Schemes in Securities. It should neither be considered as an offer to sell nor a solicitation of an offer to buy any securities. SATRIX securities are listed on the JSE Limited and the trading of participatory interests on the Exchange will incur trading and settlement costs. The price at which a participatory interests trades on an exchange, may differ from the price at which the manager repurchases participatory interests. Any pricing included in this document is indicative and is not binding as such on SATRIX. As with all stock exchange investments, the market price of SATRIX securities will fluctuate according to market conditions, general sentiment and other factors. The value of the product may fluctuate daily as a result of these factors. Collective Investment Schemes in Securities (CIS) are generally medium to long term investments. The value of participatory interests may go down as well as up and past performance is not necessarily a guide to the future. CIS products are traded at ruling prices and can engage in borrowing and scrip lending. The Manager does not provide any guarantee either with respect to the capital or the return of a portfolio. Although best efforts have been used to ensure that the information in this document is reliable, it is not guaranteed for accuracy, completeness and adequacy. The information contained herein is merely a description of certain facts and cannot be considered as financial advice. Therefore should the user of this document seek financial, tax, legal, and accounting advise the user should obtain his/her own independent advise. SATRIX and its officers, directors, agents and employees, do not accept any liability whatsoever, however arising, for any direct or consequential loss arising from any use of this document or its contents. Standard Chartered Bank is the appointed trustee of the Satrix Managers Scheme.