

## Unit Trust Tax Information Addendum - Entities

### Important information

- Please read all the information in this form carefully and ensure that you understand it.
- Any writing / instruction outside of the allocated fields will not be processed.
- We require this information in order to fulfil our obligations to the South African Revenue Services (SARS) for FATCA (Foreign Account Tax Compliance Act) and CRS (Common Reporting Standards) reporting under agreements for the Automatic Exchange of Information relating to tax residency.
- The Multilateral Competent Authority Agreements signed between the Government of South Africa and other countries were designed to improve international tax compliance.
- Sanlam and all its group companies are thus required to collect information from each client to ensure that their identification and classification is correct according to the tax requirements. We will report on clients' tax status to SARS.
- If you need assistance filling in this tax information, please contact your tax adviser.

Please send the completed form to: [UTinstructions@satrixsupport.com](mailto:UTinstructions@satrixsupport.com) or fax it to 011 263 6155  
 If you have any questions, contact us on: 0860 111 401 or email [unitrusts@satrix.co.za](mailto:unitrusts@satrix.co.za)

### 1. Entity details

Investor code \_\_\_\_\_  
 Registered name of legal entity \_\_\_\_\_  
 Entity registration number \_\_\_\_\_  
 Country of incorporation \_\_\_\_\_ Country of residence \_\_\_\_\_  
 Additional nationality / citizenship \_\_\_\_\_  
 Primary country of residence for tax purposes \_\_\_\_\_  
 Tax Identification Number \_\_\_\_\_

Is the organisation a registered tax payer of any other country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency:

Country of tax residence	Tax Identification Number	OR	Not Applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

**By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification Number.**

## 2. Organisation's classification under FATCA

It is mandatory to classify yourself in this section. For guidance please refer to the Legal Entities Tax Residency Classification for FATCA and CRS document, available at [www.satrix.co.za](http://www.satrix.co.za). Alternatively, speak to your tax adviser.

**If your organisation is a Financial Institution, please specify which type:**

- South African Financial Institution or a Partner Jurisdiction Financial Institution
- Participating Foreign Financial Institution (in a non-IGA jurisdiction)
- Non-Participating Foreign Financial Institution (in a non-IGA jurisdiction)
- Financial Institution resident in the USA or in a US Territory
- Exempt Beneficial Owner (this includes a South African registered retirement scheme, a South African Governmental Organisation or an International Organisation)
- Deemed Compliant Foreign Financial Institution (this includes Non-Profit Organisations and Financial Institutions with a Local Client Base)

Investor code \_\_\_\_\_

**If your organisation is not a Financial Institution, please specify below:**

- Active Non-Financial Foreign Entity
- Passive Non-Financial Foreign Entity (Please complete section 4 for Controlling Persons)

**Please select an option if your organisation is a US tax resident and not a specified US person:**

- A regularly traded corporation on a recognised stock exchange
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organisation under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion

---

## 3. Organisation's classification under Common Reporting Standard

**Please select one with reference to the primary country of residence:**

- Financial Institution under CRS (this includes all Non-Reporting Financial Institutions for example, a pension scheme, government entity and international organisation).
- An investment entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please also complete section 4 for Controlling Persons).
- Entity, which frequently trades on an established securities market or associated with, an established securities market or a corporation which is a related entity of such a corporation.
- A Government Entity, a Central Bank, or an International Organisation.
- Active Non-Financial Entity.
- Passive Non-Financial entity (Please complete section 4 for controlling persons).

**4. Controlling persons self-certification**

Tax regulations require us to collect information for each Controlling Person’s tax residency. The Controlling Person must be a natural person. We may be obliged to share information about your Controlling Persons with SARS who may share the information with any or all participating tax jurisdictions. Please note that we require FICA documentation for each Controlling Person. See annexure B for details of documentation requirements.

**Details of controlling persons 1**

Title \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address (only complete if different from registered address) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

SA ID number \_\_\_\_\_ Passport number \_\_\_\_\_

Passport Country of issue \_\_\_\_\_ Passport expiry date \_\_\_\_\_ (ddmmccyy)

Social Security Number (if US Citizen) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered taxpayer of any country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

**By ticking “Not Applicable”, you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.**

**Details of controlling persons 2**

Title \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address (only complete if different from registered address) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

SA ID number \_\_\_\_\_ Passport number \_\_\_\_\_

Passport Country of issue \_\_\_\_\_ Passport expiry date \_\_\_\_\_ (ddmmccyy)

Social Security Number (if US Citizen) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered taxpayer of any country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

***By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.***

**Details of controlling persons 3**

Title \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address (only complete if different from registered address) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

SA ID number \_\_\_\_\_ Passport number \_\_\_\_\_

Passport Country of issue \_\_\_\_\_ Passport expiry date \_\_\_\_\_ (ddmmccyy)

Social Security Number (if US Citizen) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered taxpayer of any country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

***By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.***

**Details of controlling persons 4**

Title \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address \_\_\_\_\_

(only complete if different from registered address)

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

SA ID number \_\_\_\_\_ Passport number \_\_\_\_\_

Passport Country of issue \_\_\_\_\_ Passport expiry date \_\_\_\_\_ (ddmmccyy)

Social Security Number (if US Citizen) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered taxpayer of any country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

**By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.**

**5. Declaration by investor/Authorised representative**

- I / We certify that the information provided about my / our country of citizenship and country of tax residence is correct.
- I / We will notify Satrix Managers (RF) (Pty) Ltd immediately if my / our tax residency for Foreign Account Tax Compliance Act ('FATCA') or equivalent classification changes or if there are any changes in circumstances that may impact on my / our tax residency status and / or FATCA classification.

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory (ies) acting on behalf of the investor.

## Annexure A

FICA - Additional information required

### Important information

Each person acting on behalf of the investor will need to complete the sections below. In the event that more than one person is authorised to act on behalf of the investor, copies of this section can be made as required and must accompany the fully completed application form.

The information required is **mandatory** to meet legislative requirements and therefore the application will not be processed without receiving the additional information for each applicable party.

### Particulars of investor

Name of Entity \_\_\_\_\_

Entity registration number \_\_\_\_\_

### Tax status of person acting on behalf of Investor

Title \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Postal address (only complete if different from registered address) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

SA ID number \_\_\_\_\_ Passport number \_\_\_\_\_

Passport Country of issue \_\_\_\_\_ Passport expiry date \_\_\_\_\_ (ddmmccyy)

Social Security Number (if US Citizen) \_\_\_\_\_

Primary country of tax residence \_\_\_\_\_

Tax Identification Number \_\_\_\_\_

Are you a registered taxpayer of any country other than your primary country of residence?  Yes  No

If yes, please complete the information below for each country of tax residency.

Country of tax residence	Tax Identification Number	OR	Not applicable
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

**By ticking "Not Applicable", you confirm that the country specified does not issue a Tax Identification number. If you are a USA citizen, you are resident for tax purposes in the USA.**

I certify that the information I have provided above is true and correct.

\*Authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

\*Authorised signatories acting on behalf of the investor

## Annexure B

FICA Requirements

Non-Individual Legal Entities

---

### Documents that we accept to verify your details

Before we can enter into a transaction with you, the Financial Intelligence Centre (FICA) requires that we verify:

- Your Identity by means of a bar coded Identity document\*\*
- Your Residential Address

Please ensure that documents clearly show your Initials, Surname, Residential / Physical address and issue date.

---

#### 1. These are the documents we will accept that may not be older than 3 months

- Utility bill in the entity's name (Municipal Rates and Taxes, Water, Electricity).
- Copy of Telkom statement in the entity's name.
- Copy of bank, building society or credit card statement which displays physical address in the entity's name.
- Letter from the Rental company on a rental letterhead.
- Copy of long or short term insurance policy / communication excluding Sanlam, Santam or MiWay.

---

#### 2. These are the documents we will accept that may not be older than 12 months

- Copy of SABC television license or SABC license card which displays physical address.
- Copy of SARS document (excluding assessments or e-filing documents) which displays physical address.
- Copy of lease or rental agreement which displays physical address (it is acceptable to only accept the first and last page of the lease agreement if the lease period is reflected in these pages).

---

#### 3. Close Corporations and Partnerships

- Stamped Founding Statement and Certificate of Incorporation (CK1) / Partnership Agreement.
- Stamped Amended Certificate of Incorporation (CK2), only applicable if changes have been made.
- Proof of Address for the Close Corporation / Partnership (refer to sections 1 and 2).
- Resolution of Authorised Signatories.
- Proof of Identity\*\* and Address of all Members / Partners.
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Close Corporation / Partnership.

---

#### 4. Trusts

##### Inter Vivos

- Trust Deed
- Letters of Authority (Stamped by the Master of the High Court)
- Proof of Identity\*\* and Address of all trustees
- Resolution of Authorised Signatories
  
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Trust
- Proof of Identity\*\* and Address of all named beneficiaries of the Trust

##### Testamentary

- Last will and testament or Trust Deed
- Letters of Authority (Stamped by the Master of the High Court)
- Resolution of Authorised Signatories
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Trust



## 5. Companies

### Public company

- Certificate of Incorporation (CM1 / COR14.3 – that must be stamped by the Registrar of Companies); or
- Certificate of Name change (CM9)
- Notice of Registered Office and Postal Address (CM22 / COR14.1 – that must be stamped by the Registrar of Companies);
- Proof of Address for the Public Company (refer to sections 1 and 2)
- Resolution of Authorised Signatories with specimen signatures
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Public Company
- Proof of Identity\*\* and Address of all persons that hold 25% or more voting rights

### Private company

- Certificate of Incorporation (CM1 / COR14.3 – that must be stamped by the Registrar of Companies); or
- Certificate of Name change (CM9)
- Notice of Registered Office and Postal Address (CM22 / COR14.1 – that must be stamped by the Registrar of Companies);
- Proof of Address for the Private Company (refer to sections 1 and 2)
- Resolution of Authorised Signatories with specimen signatures
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Public Company

---

## 6. Other Legal Entities (Unions, Associations, Medical Schemes, Clubs, Stokvels, etc.)

- Founding Document or Constitution.
- Proof of Address for the Legal Entity (refer to sections 1 and 2).
- Resolution of Authorised Signatories.
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Legal Entity.

---

## 7. Retirement Funds

- A copy of an FSB document reflecting the Fund's Registration Number.
- Resolution of Authorised Signatories.
- Proof of Identity\*\* and Address of all persons authorised to act on behalf of the Retirement Fund.

\*\* If a Smart Card is used as an identification document, please ensure that we receive a clear copy of the back and the front of the Smart Card.

SATRIX Managers (RF) (Pty) Ltd is an authorised financial services provider (FSP No. 15658) and a registered and approved Manager in Collective Investment Schemes in Securities. Collective investment schemes are generally medium- to long-term investments. Past performance is not necessarily a guide to future performance, and that the value of investments / units / unit trusts may go down as well as up. A schedule of fees and charges and maximum commissions is available from the Manager on request. Collective investments 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. The manager has the right to close the portfolio to new investors in order to manage it more efficiently in accordance with its mandate.