

The One Investment Application

New business form

Confidential

Absa Investment Management Services (Pty) Ltd is an Authorised Financial Services Provider. All relevant sections must be completed in full. Please indicate all options selected by means of a tick (✓). The investor must initial next to any amendments made on the form. Please send fully completed instruction to <u>aimscc@absa.co.za</u>

Investment proposal refe	rence number Existing Absa client Yes No Existing Absa Wealth client Yes No
Investor type:	
Individual	Absa employee Absa Investment Management Services (AIMS) employee Legal entity
Absa employee BRID num	ber
Product:	
R50 000	: Defined Growth Defined Income Defined Growth and Income R150 000 R150 000 R150 000
Retirement Annuity *R25 000	Fund Living Annuity Provident Preservation Fund Pension Preservation Fund *R75 000 *R25 000 *R25 000
Tax-free Savings R5 000	Islamic Investment Plan Linked Endowment Offshore Investment Account R50 000 R100 000
Structured Product R250 000	Cash Invest Tracker R2.5 million
Instruction type:	New business Unit Transfer (Transfer of Section 37 Transfer Section 14 Transfer Unit Trust Fund Form)
	Tax free Savings Transfer
*Please complete the co	ntractual withdrawal form in conjunction with the One Application.
Individual investor d	etails
Title Initi	als Surname
First name(s)	Date of birth
	(dd/mm/ccyy)
Identity/Passport numbe	
Country of origin	Country of residence
Language:	English Afrikaans Gender: Male Female
Marital status:	Married Single Divorced Widowed Other If " Other ", please specify
Source of Funds:	Donation Allowance Inheritance Pension
	Other If " Other ", please specify
Onboarding channel	
Legal entity investo	details
Name of registered entity	and trading name
Registration number	Inception date
	(dd/mm/ccyy)
Country of operation	Country of registration

Language: English Afrikaans		
Investor type: Individual Public company Priva	te company Trus	st Partnership Sole proprietor
NPO Provident fund Pensi	on fund Fore	eign company Other
If " Other ", please specify		
Countries traded/transacted with (if applicable)		
Onboarding Channel		
Source of Funds: Donation Allowance Inh	eritance Pension	
Other If " Other ", please specify		
Industry (SIC code)		
Nature of business		
Product or service of trade		
Address details		
Residential/Registered address	Postal address	
Suburb	Suburb	
Town/City Postal code	Town/City	Postal code
Country	Country	
Trading address (if company)		
Town/City Postal code	Country	
Investor contact details		
Telephone (H)	(W)	
Cell	Fax	
Email		
Notification preference: Email SMS	Communication pre	ference: Email Post
Tax details		
Income tax number		
VAT registration number (if applicable)		
Withholding tax and foreign interest Dividend tax		
Tax resident of South Africa Foreign tax resident (p	lease complete Self-cert	ification and Declaration form)
Employment details		
Occupational status: Full-time Part-time		
Self-employed Temporarily	Other If " Ot	her", please specify
Employment sector/Type of business (if company)	Occupat	tion
Monthly gross income R		
Source of Income: Salary Savings/Investme	ent Policy	Maintenance Other
If " Other ", please specify		
Related party information		
If applicable, please complete all related party information for trustees, t	trust beneficiaries, share	eholders and power of attorney holders.
First name and surname Relat	ionship	Identity number
A		
В		
c		

D E

In respect of "A" the follo Related party type	owir	ng must	be completed			
Individual		Other	If " Other ", please indicate			
Country of origin/operation	on					
Country of residence/regi	stra	tion				
In respect of "B" the follo	owir	ng must	be completed			
Related party type			_			
Individual		Other	If " Other ", please indicate			
Country of origin/operation	on					
Country of residence/regi	stra	tion				
In respect of "C" the follo Related party type	owin	ng must	be completed			
Individual		Other	If " Other ", please indicate			
Country of origin/operatio	on					
Country of residence/regi	stra	tion				
In respect of "D" the follo	owir	ng must	be completed			
Related party type		0.1				
Individual		Other	If " Other ", please indicate			
Country of origin/operatio						
Country of residence/regi	stra	tion				
In respect of "E" the follo Related party type	owir	ng must	be completed			
		Other	If " Other ", please indicate			
Country of origin/operation	on	1	· L			
Country of residence/regi		tion				
Investor bank details	5					
Name and surname of acc	coun	tholder				
Name of bank			Account number		Branch code	
Account type: Cur	rent	:	Savings Transmission			
Investment details						
Important note:						
•			ap fund), please make sure you indicate the wrap code of the ir	nvestment s	selection.	
It is important that yo						
			Portfolio (" PSP "), must comply with the fee Money Market dra ns add up to 100% in total.		come, component re	quirements.
			omplete the relevant mandate, which is the agreement betwee	n the inves	tment portfolio man	ager and
the client.						
PSP minimums depen		i the se	ected investment provider of the PSP consult brochure.			
Investment type:		Lump	sum Recurring Combination			
Investment amount	R					
Preferred Financial Servic	es P	rovider	(FSP) review frequency: Annually (default)	Quarte	rly H	lalf-yearly
			ent is to be transferred into the Yes No (Retirer Absa Money Market Fund)?	ment Annui	ty and Preservation	Funds)

(Option not available on CIT)

Distributions		
Reinvest (default option)	ut	
Fee deduction profile – please indicate with a tio	:k (\checkmark) how fees should be deducted from	portfolio.
AIMS distribution fund	ata across investment	
Important note: Distributions will be reinvested Funds (ETFs). ETF distributions will be reinvested		xcept for distributions earned on Exchange Traded
Phase-in Investment Please note phase-in does not apply to a PSP port	folio nor does it apply to CIT.	
Phase-in Yes	No	
Commencement of phase-in:	nmediate Following	g month
From	Fund name Absa Money Market Fund	Total amount to be phased in per month
Fund code	Fund name	Total amount to be phased in per month
То		
Lump sum investment portfolio		

If you don't indicate a fund class, we will invest the monies into the Premium Fund Range fund class. If you are investing in the Structured Product through the Linked Endowment then no other funds or fund clauses may be selected.

Fund code	Fund name	Premium Range (√)	
			[
			[
			[
			[

%	
100%	1

Debit order

If you don't indicate a fund class, we will invest the monies into the Premium Fund Range fund class. Please note debit orders do not apply to a PSP portfolio and CIT.

Recurring amount	R	· · ·				Please	refer to product	featı	ures for	r mini	imums		
							D	ebit d	dates: 3	3, 10,	17 or 2	5 m	onthly
Monthly	Quarterly	Half-ye	early	Annually	First del	oit order (d	dd/mm/ccyy)						
Annual increase in recu	urring investm	ent		%	Next inc	rease date	e (dd/mm/ccyy)						
Fund code		Fund name					Premium Range (√)				ç	6	
]					
]]					
]					
]					
Regular Income Po		l' h l -)									1	1009	%
 This only applies Please note only Note: If you select be rebalanced act If you don't indicate a 	monthly or qu t an EFT in the cordingly. fund class, we	arterly incom e Living Annu will invest th	e is allowed ity product, ne monies in	on PSP fun we will dire to the Prem	d(s) selection. C ct income and f ium Fund Rang	ee payme	ents from the Abs						h will
Pro rata across f			income %	Specific fu		navmont	(dd/mm/ccyy)			<u> </u>			
		1			-					_			
Income frequency: Annual escalation rate		*Monthly %	Quar	terly	Half-yearly		nnually e (dd/mm/ccyy)			—			
Annual escalation rate		70			Annual esca		e (dd/mm/ccyy)						
Fund code		Fund name					Premium Range (√)				Ģ	6	
]			Ē		
]					
]					
]					
]					
]			Ē		
											J	1009	%

Beneficiary for ownership nomination

This only applies to the Defined Outcome – Growth and Linked Endowment

First name and surname	Relationship	Ident	ity r	านท	ber				
Country of origin/operation									
Country of residence/registration									

Beneficiary for proceeds nomination

This only applies to the Living Annuity, Preservation Funds, Retirement Annuity, Linked Endowment and Defined Outcome. For Defined Outcome – Income option, only the surviving spouse and/or estate can be appointed.

Defined Growth		Linke	d Endowment	:					
First name and surnan	e				Relation	ship	Identity number		% Share
Α									
в									
с									
Country of residence/r	gistration								
Country of origin/opera	tion								
Country of residence/re	gistration								
Country of origin/opera	tion								
Country of residence/re	gistration								
Country of origin/opera	tion								
Defined Income	Γ	Estate		Spouse					
First name and surnan	e				Relation	ship	Identity number		% Share
Country of origin/opera	tion								
Country of residence/re	gistration								
Life Assured									
This only applies to the	Linked Endo	wment and	the Defined G	rowth.					
Are you a Life Assured	ı	Yes	No						
Complete if Life Assur	ed is other th	an the inve	stor						
Life Assured 1		_							
Title	Su	irname							
First name(s)								Initials	
Identity/Passport num	ber					Nationality			
Date of birth (dd/mm/d	суу)				Gend	er: Male	e Female		
Life Assured 2		_							
Title	Su	ırname						1	
First name(s)								Initials	
Identity/Passport num	ber					Nationality			
Date of birth (dd/mm/d	суу)				Gend	er: Male	e Female		
Life Assured 3		F							
Title	Su	rname						1	
First name(s)								Initials	
Identity/Passport num	ber					Nationality	y [
Date of birth (dd/mm/c	суу)				Gend	er: Male	e Female		
Financial Services	Provider fe	es and de	etails					-	
Defined Outcome – Gro	wth Policy			%	-	Income Policy		%	
Lump sum initial advice	fee		% Recurrin	g initial adv	vice fee		% Annual advic	e fee	%
Name of Financial Serv	ces Provider/	brokerage				Financial Serv	ices Provider/brokera	ge code	
Name of representative	ŕ						Representative	code	
Representative referen	ce number (A	bsa use only	y)						

Town/City	
Telephone (W)	

Cell	
------	--

Fax Email

Country

Postal code

Product bank account details

Account name	Bank	Branch code	Account number	Account type
AIMS Nominees RF (Pty) Ltd - Investment Account	Absa Bank	632005	4050 589 636	Cheque
AIMS Nominees RF (Pty) Ltd - Investment Account (Cash Invest Tracker)	Absa Bank	632005	4050 589 636	Cheque
AIMS Nominees RF (Pty) Ltd - Islamic Investment Account	Absa Bank	632005	4092 039 805	Cheque
AIMS Nominees RF (Pty) Ltd – Defined Outcome	Absa Bank	632005	4076 627 656	Cheque
AIMS Nominees RF (Pty) Ltd – Linked Endowment	Absa Bank	632005	4055 231 527	Cheque
AIMS Nominees RF (Pty) Ltd – Linked Endowment – Structured Product	Absa Bank	632005	4055 231 527	Cheque
AIMS Nominees RF (Pty) Ltd - Living Annuity	Absa Bank	632005	4050 589 652	Cheque
Absa Retirement Annuity Fund	Absa Bank	632005	4050 629 884	Cheque
Absa Pension Preservation Fund	Absa Bank	632005	4050 629 656	Cheque
Absa Provident Preservation Fund	Absa Bank	632005	4050 629 567	Cheque
AIMS Nominees RF (Pty) Ltd - Offshore	Absa Bank	632005	4050 855 338	Cheque
AIMS Nominees RF (Pty) Ltd – Tax-free Savings	Absa Bank	632005	4050 589 636	Cheque

Transfers	Beneficiary Bank
Euro	Absa Bank Swift: ABSAZAJJCWI Beneficiary name: AIMS Nominees Johannesburg a/c: 958132-Euro-1047-01 2001 Branch code: 63 12 05 93
Pound	Absa Bank Swift: ABSAZAJJCWI Beneficiary name: AIMS Nominees Johannesburg a/c: 958132-GBP-1047-01 Branch code: 63 12 05 93
Dollar	Absa Bank Swift: ABSAZAJJCWI Beneficiary name: AIMS Nominees Johannesburg a/c: 958132-USD-1047-01 2001 Branch code: 63 12 05 93

EFT (Electronic Funds Transfer)

*Deposit reference number

*Please complete the deposit reference field as follows for all payments:

Business submitted via Financial Services Provider

Existing client: AIMS adviser code (8 x digits) of the financial services provider " – " then AIMS client number.

New client: AIMS adviser code (8 x digits) of the financial services provider " – " then client ID number or client initials and surname. **Example: 00012345-19521204000**

Business submitted directly by a client

Existing client: 00156304 " - " then AIMS client number.

New client: 00156304 " - " then client ID number or client initials and surname.

Example: 00012345-19521204000

Debit order authority

- I/We hereby request, instruct and authorise AIMS, its successors or its assignees to draw against my/our account with the bank noted above (or any bank or branch to which I/we may transfer my account).
- I/We understand that all such withdrawals from my/our bank account will be treated as though they had been signed by me/us personally.
- I/We agree to pay any bank charges and costs relating to the debit order authority, including debit order rejection fees.
- I/We acknowledge that I/we may cancel this authority by giving AIMS not less than 10 (ten) calendar days written notice.
- I/We agree that receipt of this instruction by AIMS will be regarded as receipt thereof by my/our bank.
- To activate the debit order, AIMS must receive the application form at least 14 (fourteen) days prior to the first debit order date.
- · Debit orders will be cancelled in the event that the debit order rejects. To reactivate the debit order, a new instruction is required.

Financial Services Provider/representative declaration

- I have read and understood the terms and conditions pertaining to the selected investment.
- I warrant that all statements given in the Form are true and correct in every respect.
- I acknowledge and certify that I have personally explained to the investor all the features and terms of the product.
- I acknowledge that the investor will be screened and profiled by Absa Bank in terms of the legal terms.
- I acknowledge that I have personally explained all the fees, charges and commission applicable to this investment to the investor.

The Financial Services Provider/representative further declares and confirms in respect of FICA that:

- I have taken all reasonable steps to establish the identity of the investor before entering into a business relationship with the investor or concluding a single transaction with the investor.
- I have verified the information of the investor in accordance with the requirements set out in section 21 of FICA.
- I have obtained copies of the investor's identification document and any other verification documentation as required in terms of section 22 of FICA and are keeping record of the required documents after having seen the original documents.

Signed at

on

Financial Services Provider/representative signature

Investor(s) declaration

You, or where applicable, your authorised signatory, hereby state that:

- · I acknowledge that I am aware of and understand the fees and commission applicable to this investment.
- I have read and understood the terms and conditions pertaining to the selected Investment including the legal terms.
- I warrant that all statements in the application form are true and correct.
- I acknowledge that I will be screened and profiled by Absa Bank in terms of the legal terms.

The FSP/representative is appointed by the investor with:

*If applicable, the limits on the FSP/representative's discretion are as set out in the approved mandate attached to this application form and signed by the investor.

Absa Bank Limited ("**Absa**"), a member of the Banking Council of South Africa, wishes to inform you that all information regarding your personal and financial matters is treated as strictly confidential. To enable the Absa Group to offer you a full range of services and products suited to your needs, we require your consent to utilise your personal information within the Group and to communicate to you on an on-going basis. I agree to notify the relevant Absa Group Limited entity immediately in the event that information on this Tax Self-Certification and Declaration Form changes.

Please tick (\checkmark) the appropriate boxes:

I/We hereby consent to the above.

I/We hereby withhold consent and fully understand the implications and ramifications of my/our decision and will not hold Absa Group responsible for financial advice and offers that I/we have not received.

*Limited discretion

*Full discretion

Signed at

_____ on _____

Investor signature [or duly authorised person(s) where applicable]

Submit signed and completed instructions to aimscc@absa.co.za

Signature of legal guardian (if applicable)

Information about Absa Investment Management Services (AIMS)

Authorised Financial Services Provider Registration number: 1980/002425/07

Head office	Postal address	Website	Client Services	Email address	Fax number
4th Floor Towers North 180 Commissioner Street 2001	PO Box 974 Johannesburg 2000	absainvestments.co.za	0860 000 005	New instructions: aimscc@absa.co.za Queries: aimsenquiries@absa.co.za	0861 339 265

AIMS is a financial services provider ("FSP"), authorised in terms of FAIS and is further authorised as an administrative and discretionary FSP. All these details are available on the FSB website if required.

Complaints process

- 1 Please lodge a complaint in writing to AIMS, addressed to our Client Services Department, using the addresses set out below.
- 2 The complaint must contain the client details, details of the complaint and any documentary proof, where applicable.
- 3 Upon receipt by AIMS of the above-mentioned information, your complaint will be acknowledged by the AIMS employee that will assist in the resolution of your complaint.
- 4 Where possible, AIMS endeavours to resolve your complaint within 10 (ten) business days of receipt of your complaint, taking into account the nature of the complaint and the product type. You will be contacted if we discover during the course of the investigation that further information or documentation is required. In this event, the conclusion of the matter may take a while longer. If you are not satisfied with the reply, you may refer the matter to the compliance officer of AIMS. In the event that we have been unable to resolve the complaint to your satisfaction within a period of 6 (six) weeks, you may refer the matter, within a further period of 6 (six) months, to The Office of the Ombud for Financial Services Providers. If the complaint is product-related, you may refer the matter, within a further period of 6 (six) months, to The Long-term Insurance Ombud.
- 5 A full record of each complaint received and all subsequent correspondence will be kept on record by AIMS for such periods as prescribed by relevant legislation.
- 6 AIMS should always be given the opportunity to resolve the complaint. However, if you are dissatisfied with the response from AIMS, you may refer your complaint to the Ombudsman or Adjudicator depending on the nature of the complaint, as set out below in more detail.
- 7 Complaints relating to intermediary services provided by AIMS:

Only complaints relating to intermediary services provided by AIMS, as an authorised financial services provider, may be directed to the Financial Advisory and Intermediary Services Ombud ("**FAIS Ombud**"). The FAIS Ombud acts independently and objectively. Please note that AIMS does not give advice and any complaints relating to advice will not apply to AIMS. In complaints before the FAIS Ombud the complainant and any other party to the complaint are expected to give their fullest co-operation so as to dispose of the complaint within a reasonable time. For these purposes a complainant includes their lawful successor in title or a person nominated as beneficiary in terms of the financial product that is the subject of the relevant complaint.

The Ombudsman for Long-term Insurance can be approached for living annuity and endowment related complaints. The role of the Ombudsman is to ensure that the rights of the client are protected and to mediate in a dispute if required.

8 Complaints relating to AIMS/Absa Retirement Annuity, Pension Preservation and Provident Preservation funds ("**Retirement funds**"); The Pension Funds Adjudicator can be approached for complaints in respect of the retirement funds. The role of the Pension Funds Adjudicator is to ensure that the rights of members are protected and to mediate in a dispute if required.

Head office	Postal address	Client Services	Email address	Fax number
Client Services/ Compliance Officer	PO Box 974 Johannesburg 2000	0860 000 005	aimscomplaints@absa.co.za	0861 339 265
The Officer of the Ombud for Financial Services Providers	PO Box 74571 Lynnwood Ridge 0040	0860 FAISOM (0860 324 766)	info@faisombud.co.za	+27 12 348 3447
The Long-term Insurance Ombud	Private Bag X45 Claremont Cape Town 7735	+27 21 657 5000/ 0860 103 236	info@ombud.co.za	+27 21 674 0951
The Pension Funds Adjudicator	PO Box 580 Menlyn 0063	+ 27 12 346 1738/ + 27 12 748 4000	<u>enquiries@pfa.org.za</u>	086 693 7472

We have provided the relevant contact details below: