Financial planner form

NEDGROUP INVESTMENTS

1. What you need to know

Compliance with the Financial Intelligence Centre Act, 38 of 2001 (FICA) is required to process your instruction if you have not previously submitted the necessary supporting documentation to us or your authorised financial planner, please do so with this form.

1. Before completing this form please read the latest relevant Investment Agreement, Fund Fact Sheet and Portfolio Characteristics document - which can be obtained from our website: **www.nedgroupinvestments.co.za**, your financial planner or our Client Service Centre.
2. Your investment will be invested into the unit trust portfolio class specified on the relevant Portfolio Characteristics document.
3. We will process your instruction once:
   - we have received and reviewed your completed and signed form;
   - identified and verified you in terms of FICA; and lastly
   - the money reflects in our bank account.
4. The daily cut-off for receipt of instructions is 14:00; 12:00 for the Nedgroup Investments Money Market Fund.
5. Information filled in outside of the relevant fields will not be considered when processing your instruction.
6. Return the completed and signed form with the relevant supporting documents to us via:
   - Email to **nedgroupinvestments@silica.net** (please print and sign the form before scanning and emailing it to us, as an authorised signature is required for processing); or
   - Fax to **0861 119 733** (from within RSA) or to **+27 11 263 6067** (from outside RSA).
7. If you have any questions about this form please contact your financial planner or our Client Service Centre on **0860 123 263** (from within RSA) or on **+27 21 416 6011** (from outside RSA).

2. Investor details

Investor number

Individuals:

Title and surname

First names

SA ID number

Passport number (if foreign national)

Expiry date D D M M Y Y Y Y

Country of issue

Legal entities:

Registered name

Trading name

Registration number

3. Preferred correspondence

We will send you, or the person acting on your behalf, all correspondence (e.g. statements, fund updates, ballot letters pertaining to your investment) via email. If you prefer post or do not have an email address, please tick this box: ☐

You may choose who receives your quarterly investment statement:

☐ You / the person acting on your behalf ☐ Your financial planner ☐ Both

As an investor, you will also receive our quarterly Insights if you have provided us with an email address. If you do not wish to receive this please tick this box: ☐

4. Instruction details

Please indicate to which investment product this instruction applies

☐ Unit trust ☐ Tax-free investment ☐ Endowment
☐ Retirement Annuity Fund ☐ Preservation Fund ☐ Living Annuity

Please indicate what you would like to do:

☐ **I currently do not have a financial planner and I'd like to appoint one**

Please note

- To pay your financial planner you will need to switch your investment into a class that facilitates the payment of fees - please complete and submit a switch form per unit trust portfolio

☐ **I'd like to change my current financial planner**

Please note

- We require the relevant FICA documents as per the attached addendum unless your financial planner completes the declaration below confirming that they have obtained the necessary FICA documentation from you.
- If you are invested in a unit price class the annual financial planner fee specified in the portfolio characteristics document will be paid to the new financial planner.

Please confirm the fees to be paid to your new financial planner:

Account number	Unit trust portfolio	Initial debit order fee (excl VAT)	Annual financial planner fee (excl VAT)

☐ **I'd like to terminate my relationship with my current financial planner**

If you are a Nedbank employee or a direct family relation of a Nedbank employee and would like to be set up as a staff account, please complete the following:

Nedbank employee number

Please specify the investor's relationship to Nedbank employee

Please note

- We will switch your investments into our direct investor classes and stop the payment of financial planner fees. If you haven't already submitted your FICA documentation directly to Nedgroup Investments please attach as per the addendum, and submit with this form.

5. New financial planner details and declarations

Name of financial planning business

Name of financial planner

Code

Contact number + (0)

I confirm that:

- I have made the disclosures required in terms of the Financial Advisory and Intermediary Services Act, 37 of 2002 (FAIS) to the investor.
- I have used the Effective Annual Cost calculator and explained all fees and charges that relate to this investment to the investor.
- I am authorised by the financial planning business to sell this investment / product in terms of FAIS.

Financial planner signature

Date D D M M Y Y Y Y

I confirm that:

- I am the primary accountable institution in terms of the Financial Intelligence Centre Act, 38 of 2001 (FICA).
- I have identified all relevant parties to this investment, verified their details and I am keeping their records as required by FICA.
- I will continue to maintain the correctness of these records as required by FICA for the duration of this business relationship.
- If I do not sign below, I understand that Nedgroup Investments will be responsible for identifying and verifying the details of all relevant parties in terms of FICA and that this instruction will be delayed until Nedgroup Investments has received all relevant documents in the document checklist on the cover page of this form

Financial planner signature

Date D D M M Y Y Y Y

6. Investor declaration

I confirm and certify that:

- I am responsible for my investment decisions and have considered whether this instruction is suitable for my needs.
- I am authorised to act on behalf of the investor (if applicable) and I will be personally responsible for this instruction should this not be the case.
- I did not receive advice from Nedgroup Investments about this instruction.
- I understand and agree to the information in the latest relevant Investment Agreement.
- I understand that investments will only be processed on receipt of monies, proof of deposit and all required documentation.
- I have read and understood the Portfolio Characteristics document and the Fund Fact Sheet that relates to the unit trust portfolios I am investing in.
- I have used the Effective Annual Cost calculator and I am aware of the charges that may be incurred.
- I have read and understand the contents including the terms and conditions of this form.
- All of the information, instructions and documents provided by me or on my behalf about this instruction, whether in my handwriting or not, are accurate and complete.
- Instructions will only be accepted from my financial planning business or any authorised third party if I appoint them and authorise this in writing.
- I need to inform you if any of my details change.

Where the financial planning details section has been completed:

- The financial planning business is my appointed financial planning business until I instruct otherwise.
- The financial planner listed, as authorised representative of the financial planning business, is my appointed financial planner.
- My appointed financial planning business must be paid the initial and annual financial planning fees.
- Annual financial planning fees may be recovered via the sale of units from my investment and paid to my financial planning business as long as it remains registered to render services in respect of my investment.
- My appointed financial planning business will have access to my investment details via Nedgroup Investments' secure online website.

Investor / Authorised signatory

Date D D M M Y Y Y Y

Name

Capacity

Authorised signatory (if applicable)

Date D D M M Y Y Y Y

Name

Capacity

Authorised signatory (if applicable)

Date D D M M Y Y Y Y

Name

Capacity

Authorised signatory (if applicable)

Date D D M M Y Y Y Y

Name

Capacity

Nedgroup Investments (Pty) Limited (Company registration number 1996/017075/07)
Incorporating Nedgroup Collective Investments (RF) Proprietary Limited (Company registration number 1997/001569/07); Nedgroup Investment Advisors Limited (Company registration number 1998/017581/07) an authorised Financial Services Provider (FSP Licence No. 1652) Sponsor of the Nedgroup Investments Retirement Funds

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