MY WEALTH TRADER

INVESTOR DETAILS FORM (FOR INDIVIDUAL INVESTORS ONLY)

IMPORTANT INFORMATION:

- Please complete ALL the relevant sections (as applicable) initial each page and sign section 5.
- The completed form and supporting documentation (as specified below) must be returned to trade@omwealth.co.za.
- Processing of your investment instruction will only be made once we have received the completed form and supporting documentation. Illegible and incomplete forms may lead to delays.
- All documentation submitted must be clear, legible and valid. Expired documentation will not be accepted.
- Documents do not need to be certified or notarised, as we will verify the documents through an authorised third party. You can email us copies or photographs of the documents - accepted file types include: PDF, PNG, JPEG, TIFF, BMP.
- Please contact Private Client Securities at trade@omwealth.co.za or 0861 66 54 63 (0861 ONLINE) if you have any queries.

ATTACHMENTS REQUIRED:

Private Client Securities (PCS) is committed to implementing a strong culture of compliance with Anti-Money Laundering requirements. Before we enter into a transaction with you the Financial Intelligence Centre Act (FICA) requires that we establish and verify your identity.

PROOF OF IDENTITY:

- South African green bar-coded ID book, or
- South African ID smart-card (both sides), or
- Passport (only if you are a foreign national).

Please Note: ID photographs must be of good quality.

PROOF OF ADDRESS:

- Utility Bill, or
- Bank/building society/credit card statement, or
- Municipal rates and taxes account, or
- Mortgage statement, or
- Landline (e.g. Telkom) or cellular phone account, or
- Motor vehicle or motorcycle license, or
- Rent/lease agreement, or
- Official SARS documentation, or
- TV license/Retail account reflecting NCA or FSP license, or
- Short-term insurance document reflecting the risk address, or
- Official Payslip/Salary advice.

Please note: Address documents must contain your name and physical address or erf number. The document must not be older than three months.

ADDITIONAL:

- Proof of banking – bank statement (if not provided above).

PRIVATE CLIENT SECURITIES

Old Mutual Wealth Private Client Securities ("PCS") is a division of Old Mutual Wealth Trust Company (Pty) Ltd ("OMWTC"), an authorised Financial Services Provider, Reg No: 1925/002721/07. PCS is authorised to provide financial services on the OMWTC licence.

The Estuaries, 2 Oxbow Crescent, Century City 7441. Tel: +27 (0)21 524 4400, Fax: +27 (0)21 441 1060, Email: pcs@omwealth.co.za, Website: www.omwealth.co.za.

1. INVESTOR DETAILS

Please note that for offshore accounts, we will contact you about additional information we require.

Type of account Local ☐ Offshore ☐

If you have selected offshore please indicate whether you will be using your own:

Offshore allowance ☐ PCS asset swap facility ☐ If you have selected offshore, please select your base currency: USD ☐ EUR ☐ GBP ☐

Are you transferring your current share portfolio from another provider ? Yes ☐ No ☐

If yes, name of provider ______ and investment number ______

(please note that once we receive your completed form, we will facilitate the process of transferring your current portfolio and will contact you should we require additional information)

Title: Mr ☐ Ms ☐ Mrs ☐ Other ☐ Initials ☐

Surname

Gender Female ☐ Male ☐

Full names

ID type RSA Identity document ☐ Passport ☐ ID number/ Passport number

Country of issue of passport

Date of birth D D M M Y Y Y Y Country of birth

Marital status Single ☐ Married (out of community of property) ☐ Married (in community of property) ☐

Divorced ☐ Widowed ☐

Telephone Numbers: Country code Home No.

Country code Work No.

Country code Fax No.

Country code Cell No.

Email address

Please indicate if you would like to receive the monthly PCS Prosperity newsletter Yes ☐ No ☐

Residential address

Country Postal code

Postal address

Country Postal code

Source of income

Occupation

Initial ______________________

2. TAX DETAILS

Are you a resident for **tax purpose** in the Republic of South Africa Yes ☐ No ☐ If yes, South African Income Tax Number

CONFIRMATION OF TAX STATUS FOR DIVIDENDS WITHHOLDING TAX

Dividends tax will be withheld at the legislated rate until we are in possession of correctly completed and signed declaration forms which stipulate exemption(s) claimed and any reduced tax rates claimed. All investors qualify for one or more of the exemptions from Dividends Tax. Please complete the separate Dividends Withholding Tax Declaration of Beneficial Owner exemption and reduced rate form (where applicable) and return them to us ASAP.

NOTE: Where you are a South African resident for tax purposes and do not qualify for an exemption under para (a) to (g), (k) or (n) per the Declaration of Beneficial Owner exemption form you should qualify for para (l) exemption because income declared by a Real Estate Investment Trust (REIT) is a deemed Dividends and is subject to normal income tax in the hands of a RSA tax resident. In order to avoid double taxation exemption (l) would apply for Dividends Tax. If this is the case please indicate this below - you will NOT need to complete a separate Declaration of Beneficial Owner exemption form.

I qualify for para (l) exemption ☐ I qualify for an exemption other than para (l) ☐ I qualify for a reduced rate (Double Tax Agreement) ☐

CONFIRMATION OF TAX STATUS FOR INTEREST WITHHOLDING TAX

Interest withholding tax is only applicable if you are NOT a resident for tax purposes in the Republic of South Africa. Where applicable tax will be withheld at the legislated rate until we are in possession of a correctly completed and signed declaration form which stipulates the exemption claimed and/ or reduced tax rates claimed (if applicable). Please complete the separate Interest Withholding Tax Declaration of Beneficial Owner exemption and/ or reduced rate form (where applicable) and return them to us ASAP.

I qualify for an exemption ☐ I qualify for a reduced rate (Double Tax Agreement) ☐

FOREIGN ACCOUNT TAX COMPLIANCE ACT DETAILS

Are you a resident for **tax purposes** in the United States of America?* Yes ☐ No ☐ If Yes, Tax reference number

Are you a resident for **tax purposes** in any other country? Yes ☐ No ☐

If Yes, please complete the information below and capture your primary tax residence (other than RSA) first :

Country		Tax reference number	
Country		Tax reference number	
Country		Tax reference number	
Country		Tax reference number	

3. BANKING DETAILS FOR FUTURE PAYMENTS

If you have more than one bank account, please make a copy of this page.

Payments will not be made into a bank account that is not in the name of the investor.

LOCAL BANK ACCOUNT

Name of bank

Branch name Branch code

Account holder name

Account number

Account Type Cheque ☐ Savings ☐ Transmission ☐

Initial ____________________

OFFSHORE BANK ACCOUNT **(ONLY IF OFFSHORE ACCOUNT IS SELECTED)**

Name of bank	
Bank address	
Account holder name	
Account number	
SWIFT	
IBAN	
Account currency	

4. FULL DETAILS OF SOURCE OF FUNDS

PLEASE TICK THE DESCRIPTION OPTION(S) RELATING TO THE ORIGINAL SOURCE OF FUNDS FOR YOUR INVESTMENT PORTFOLIO. YOU MUST FULLY COMPLETE EACH RELEVANT SECTION RELATING TO THE DESCRIPTION OPTION(S) YOU HAVE TICKED.

DESCRIPTION	DETAILS REQUIRED	YOUR DETAILS
☐ Accumulated savings/ investments	Amount of savings/ investments	Amount (please specify currency)
	Savings/investments held for	Years Months
	Details of where funds are held:	
	Account Holder (name as stated on account)	
	Account number	
	Name of financial institution/bank	

OR

DESCRIPTION	DETAILS REQUIRED	YOUR DETAILS
☐ Regular income from employment or ☐ Regular income from your business (eg.if self-employed)	Details of income and bonus including salary and bonus amount	

OR

DESCRIPTION	DETAILS REQUIRED	YOUR DETAILS
☐ Sale of shares	Name of company that held your shares/investment	
☐ Maturing investment	Name of person who held the shares/investment	
	Total amount paid out (please specify currency)	
	Date received	D D M M Y Y Y Y
	Shares/investment held for	Years Months

OR

☐ Sale of property/ interest in company	Name of company (if applicable)	
	Address of property/ company sold (including postcode if applicable)	
	Nature of business (if company sale)	
	Total sale amount (please specify currency)	
	Date received	D D M M Y Y Y Y
	Date of sale	D D M M Y Y Y Y

OR

DESCRIPTION	DETAILS REQUIRED	YOUR DETAILS
☐ Other unearned income	Origin of wealth (if ticked gift or other)	
☐ Inheritance	From which organisation or whom (state the relationship if applicable)	
☐ Loan		
☐ Gift		
☐ Compensation	Details (including reasons where applicable, how the money was acquired, ect)	
☐ Competition or gambling win		
☐ Other	Amount (please specify currency)	
	Date received	D D M M Y Y Y Y

5. INVESTOR DECLARATION AND SIGNATURE

DECLARATION

- I have read and understood the terms and conditions as set out in the Limited Discretionary Mandate, **Version 1 | November 2017** ("the Mandate"), containing the FAIS regulatory Disclosure, and accept the contents therein.
- I am aware of and have been informed about the settlement obligations related to trading and settlement of securities as specified in the Mandate. I further accept that failure to meet the settlement obligations in terms of the Mandate will result in me being liable for any losses, costs, charges and penalties incurred by PCS.
- I confirm that I am aware of the different types of fees as set out in the Mandate and I authorise PCS to deduct the applicable fees from my portfolio.
- I authorise PCS to obtain and share my information with third parties for the purpose of rendering intermediary services as set out in the Mandate.
- I confirm that all information provided in this document, whether in my handwriting or not, is true and correct and forms the basis of my Mandate with PCS.
- I confirm that the physical address provided in this document will be used for the delivery of legal documents that may be served on me as referred to in clause 3.13 of the PCS Mandate.
- I will notify PCS immediately, in writing if there are any changes to my circumstances that will impact the information captured in this document e.g. changes to my domicilium or any other physical address, my tax residency status and/or FATCA classification.
- I confirm that all funds deposited in the PCS Trust bank account in respect of my investment was obtained from legitimate sources.

COMMUNICATION:

- I confirm that PCS will send me a monthly investment statement and that I will report any errors in the statement to PCS within 14 business days of the statement date, otherwise the statement will be regarded as being correct.

Initial ______________________________

OTHER

- I confirm that I make my own independent investment decisions and that I have not received advice from PCS
- As the investor, I confirm that I act in my own name as specified on the Mandate.
- I confirm that all funds deposited in the PCS trust account are my own funds and have been obtained from legitimate sources.

APPOINTMENT:

I confirm that by signing this declaration that:

- I accept the terms and conditions as set out in the Mandate.
- I appoint PCS to provide intermediary services in respect of my investments.
- PCS has no legal requirement to provide me with investment advice.
- I accept and agree to be bound by the terms and conditions as set out in the Mandate and further consent to be bound by amendments and updates thereto, as communicated to me through the PCS platform.

Signed at ______________________ on this date D D M M C C Y Y

Name of Investor ______________________ Signature of Investor ______________________

Initial ______________________