

- Please send the completed form and documentation to [eflows@coronation.co.za](mailto:eflows@coronation.co.za) or (086) 206 4098 (fax).
- Should you have any queries or if you would like an investment quote for comparison purposes, kindly email [clientservice@coronation.co.za](mailto:clientservice@coronation.co.za) or call us on 0800 22 11 77.

### A: IMPORTANT INFORMATION

We require the following documentation before we can process your application:

- ☐ Copy of your South African bar-coded ID, both front and back of smart ID, valid passport (if foreign national) or birth certificate (if minor).
- ☐ If you are transacting on behalf of your minor child, a copy of your ID (refer above).
- ☐ If you are transacting on behalf of the Investor, a copy of your ID (refer above) and proof of your authority to act for the Investor (e.g. power of attorney).

Not required if you have submitted these documents as part of a previous Coronation investment that is still active. If any of these particulars have changed, please send us the updated documentation. In certain circumstances we may contact you to request additional documentation.

Please also send us:

- ☐ Proof of deposit, if you are investing a single amount.



## B: INVESTOR DETAILS

☐ I'm a new investor with Coronation. ☐ I'm an existing investor. My Coronation investment number: \_\_\_\_\_

Title: \_\_\_\_\_ Surname: \_\_\_\_\_ Gender: \_\_\_\_\_

First name: \_\_\_\_\_ Middle name(s): \_\_\_\_\_

ID number (passport number if foreign national): \_\_\_\_\_ Date of birth: \_\_\_\_ [d] / \_\_\_\_ [m] / \_\_\_\_ [y]

Country of issue: \_\_\_\_\_

Are you a politically exposed person or a prominent influential person<sup>1</sup>? Yes ☐ No ☐

<sup>1</sup> An individual who has been entrusted with a prominent public function, for example Head of State, minister, senior judge, senior politician, military official or senior executive of a state-owned entity. You are also considered a politically exposed person if you are a family member or close associate of any of the above.

Country of birth: \_\_\_\_\_ Are you an Asylum Seeker/Refugee? Yes ☐ No ☐

Are you a South African resident? Yes ☐ No ☐ If no, please specify country of residence: \_\_\_\_\_

Residential address: \_\_\_\_\_

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

Postal address is same as residential address ☐

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

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

Mobile number: ( \_\_\_\_\_ ) \_\_\_\_\_ Home telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_

Work telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_ Email address: \_\_\_\_\_

Would you like to receive your welcome pack by email ☐ or by post? ☐

All other correspondence will be emailed where possible. Should you prefer to receive communication via post, please check this box: ☐

### Industry of work:

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Accommodation & food services     | <input type="checkbox"/> Administrative & support services    | <input type="checkbox"/> Agriculture                     |
| <input type="checkbox"/> Arts & entertainment              | <input type="checkbox"/> Construction                         | <input type="checkbox"/> Education                       |
| <input type="checkbox"/> Engineering & scientific services | <input type="checkbox"/> Financial services <sup>2</sup>      | <input type="checkbox"/> Gas & electricity               |
| <input type="checkbox"/> Gems & jewellery                  | <input type="checkbox"/> Health services & social work        | <input type="checkbox"/> Information & communication     |
| <input type="checkbox"/> Manufacturing                     | <input type="checkbox"/> Mining                               | <input type="checkbox"/> Private household services      |
| <input type="checkbox"/> Professional & technical services | <input type="checkbox"/> Public admin & defence services      | <input type="checkbox"/> Real estate                     |
| <input type="checkbox"/> Transportation & storage          | <input type="checkbox"/> Unemployed (minor, student, retired) | <input type="checkbox"/> Water supply & waste management |
| <input type="checkbox"/> Wholesale & retail trade          | <input type="checkbox"/> Other (please specify): _____        |  |

Are you a US citizen or resident in the US for tax purposes? Yes ☐ No ☐

Are you a registered taxpayer? Yes ☐ No ☐ If yes, please complete the tax information below:

Country(ies) of Tax Residence	Tax Reference or Identification Number(s)

<sup>2</sup> Banks, insurers, collective investment schemes, retirement funds, pension funds.

☐ I am acting on behalf of the Investor. Please complete section H.



## C: CHOOSE YOUR INVESTMENT



Before making a decision, please review the comprehensive fact sheets of the different funds on [www.coronation.com](http://www.coronation.com). We also recommend that you speak to a financial adviser, who can assess your investment needs.

	NEED	Single Investment (Minimum R10 000)	Debit Order (Minimum R500 per month)
<b>LOCAL FLAGSHIP FUNDS</b>			
Strategic Income Fund	Income		
Balanced Defensive Fund	Income & growth		
Capital Plus Fund	Income & growth		
Balanced Plus Fund	Growth multi-asset		
Top 20 Fund	Growth equity		
<b>LOCAL SPECIALIST FUNDS</b>			
Money Market Fund	Income		
Defensive Income Fund	Income		
SA Income Fund	Income		
Active Income Fund	Income		
Equity Fund	Growth equity		
SA Equity Fund	Growth equity		
Market Plus Fund	Growth multi-asset		
Bond Fund	Building block fund		
Financial Fund	Building block fund		
Industrial Fund	Building block fund		
Property Equity Fund	Building block fund		
Resources Fund	Building block fund		
Smaller Companies Fund	Building block fund		
<b>OFFSHORE FLAGSHIP FUNDS (Rand-denominated feeder funds)</b>			
Global Strategic USD Income [ZAR] Feeder Fund	Cash deposit alternative		
Global Capital Plus [ZAR] Feeder Fund	Capital preservation		
Global Managed [ZAR] Feeder Fund	Growth multi-asset		
Global Optimum Growth [ZAR] Feeder Fund	Growth multi-asset		
Global Opportunities Equity [ZAR] Feeder Fund	Growth equity		
Global Emerging Markets Flexible [ZAR] Fund*	Growth equity		
Global Equity Select [ZAR] Feeder Fund	Growth equity		
<b>Total amount</b>		<b>R</b>	<b>R</b>

All funds listed above refer to the A-Class of the respective funds, except for Bond Fund and Smaller Companies Fund which refer to the R-Class, and Resources Fund and Industrial Fund which refer to the P-Class.

\* Coronation reserves the right to charge an exit penalty of 2% should withdrawals be made from the Global Emerging Markets Flexible [ZAR] Fund within a period of less than six months from the time of investment in the fund. This will apply to both initial and subsequent investments. Any exit penalty levied under this provision will be applied for the benefit of the remaining investors in the fund.



## D: INVESTMENT DETAILS

- What is the source of funds for your investment? Please complete section **1** [compulsory]
- Would you like to invest a single amount? Please complete section **2**
- Would you like to invest via debit order? Please complete section **3**

### 1 SOURCE OF FUNDS (COMPULSORY)

What is the source of funds you expect to use in concluding transactions in the course of this business relationship with Coronation?

Savings ☐ Salary ☐ Sale of assets ☐ Inheritance ☐ Other ☐ please specify: \_\_\_\_\_

### 2 SINGLE AMOUNT

☐ Please collect from my bank account:

Please collect an amount of R \_\_\_\_\_ from my bank account listed in Section F.



*Subject to a 40-day clearance period. A maximum of R2 000 000 per debit. Funds are deducted from the Investor's bank account one business day after the receipt of a valid application form and supporting documentation.*

☐ Deposit/electronic transfer

I have deposited R \_\_\_\_\_ into the Coronation Life Assurance Company account (listed below) on \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y] and sent the proof of payment to [eflows@coronation.co.za](mailto:eflows@coronation.co.za) or 086 206 4098 (fax).



*Subject to a 7-day clearance period.*

#### CORONATION ENDOWMENT PLAN FUND BANK ACCOUNT DETAILS

Account holder	Bank	Branch	Branch code	Account number
Coronation Life Assurance Company Ltd	First National Bank	Cape Town Corporate Branch	250655	6209 137 9399



*Electronic transfers: Internet transfers may take up to two days to reflect in our bank account. Please use your initials and surname as reference.*

### PHASING IN

Investments can be made directly into the funds of your choice or be phased in over a period of time. Your investment is split into equal sums that can be invested over 3, 6, 9 or 12 months. The initial lump sum is invested in the Coronation Money Market Fund and monthly automated investments are made into the fund(s) of your choice.

Do you want to 'phase in' your investment? Yes ☐ No ☐

If yes, please select phase-in period: 3 months ☐ 6 months ☐ 9 months ☐ 12 months ☐



*If all required documentation and proof of payment reach us before 14:00 on a business day, the investment will be executed using the next business day's closing price.*

*You will receive a confirmation of the transaction the following day. If you transact after the cut-off time, the transaction price and confirmation will follow a day later.*



### 3 SET UP A DEBIT ORDER

I/We the undersigned, authorise Coronation Life or its assignees to draw against my/our bank account the debit order investment amounts in terms of this application on the 1st ☐ 4th ☐ 7th ☐ 10th ☐ 15th ☐ 26th ☐ day of each month for the investment at the ruling price on the following business day. (If the debit order days fall on a weekend or public holiday, collection will take place on the next business day.) The debit order should commence on \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y]. All such withdrawals from my/our account will be treated as though they have been signed by me/us personally, and I/we request the bank to debit my/our account with these drawings. I/We acknowledge that debit order investments are subject to a 40-day clearance period.



A minimum debit order amount of R500 is required, with a minimum of R200 per fund.

Please increase my debit order each year by: 5% ☐ 7.5% ☐ 10% ☐ 15% ☐ Other ☐ please specify: \_\_\_\_\_ %

Collect a debit order to the amount of R \_\_\_\_\_ from my/our bank account listed below:

Account holder name: \_\_\_\_\_

Bank: \_\_\_\_\_ Account number: \_\_\_\_\_

Branch code: \_\_\_\_\_ Type of account: Current/Cheque ☐ Savings ☐

Signature of bank account holder:

SIGN WITHIN THE BOX



When selecting the recurring debit order option, the reference on your bank account will be the fund's abbreviated name and a 16 digit investment number (e.g. CORO END1 COR2018046000010).

Collection requests from a third-party legal entity account must be accompanied by a resolution, copies of the ID documents and signatures of the signatories of the third-party. In the case of a third-party individual account the request must be accompanied by a copy of the ID document and three specimen signatures of the third-party.

### E: PERSONAL DETAILS OF LIVES ASSURED

	Life Assured 1	Life Assured 2
Surname		
First name(s)		
Relationship		
ID number (passport number if foreign national)		
Date of Birth		
Postal address		
Contact number		



If there are additional lives assured, please attach this information on a separate signed page.



## F: BENEFICIARY NOMINATIONS

- Who would you like to nominate as the beneficiaries for proceeds? Please complete section **1**
- Who would you like to nominate as the beneficiaries for ownership? Please complete section **2**

### 1 BENEFICIARY NOMINATIONS FOR PROCEEDS

Subject to Coronation Life's approval, you may nominate beneficiaries who may receive a benefit following the death of the last life assured. You may alter your nomination at any time by submitting a Beneficiary Nomination Form to Coronation Life. Beneficiary alterations received after the death of the last life assured will be treated as invalid.



*If no beneficiary is nominated, the executor of your estate is required to notify Coronation Life of the natural persons entitled to receive the proceeds, failing which the proceeds may be payable to your estate subject to legislative requirements.*

	Beneficiary 1	Beneficiary 2
Surname		
First name(s)		
Gender		
Relationship		
ID/passport number		
Country of Issue		
Date of Birth		
Country of Birth		
Country of Residence		
Percentage		
Postal address		
Contact number		

	Beneficiary 3	Beneficiary 4
Surname		
First name(s)		
Gender		
Relationship		
ID/passport number		
Country of Issue		
Date of Birth		
Country of Birth		
Country of Residence		
Percentage		
Postal address		
Contact number		



*If there are additional beneficiaries, please attach this information on a separate signed page.*



## 2 BENEFICIARY NOMINATION FOR OWNERSHIP

Subject to Coronation Life's approval, you may nominate a beneficiary who may receive ownership of the policy following the death of the Investor. This is only applicable where the Investor is a different person to the Life Assured. You may alter your nomination at any time by submitting a Beneficiary Nomination Form to Coronation Life. Beneficiary alterations received after the death of the Investor will be treated as invalid.

	Beneficiary 1
Surname	
First name(s)	
Gender	
Relationship	
ID/passport number	
Country of Issue	
Date of Birth	
Country of Birth	
Country of Residence	
Percentage	
Postal address	
Contact number	

## G: YOUR BANK ACCOUNT

Account holder name: \_\_\_\_\_

Bank: \_\_\_\_\_ Account number: \_\_\_\_\_

Branch code: \_\_\_\_\_ Type of account: Current/Cheque ☐ Savings ☐



Signature of bank account holder:

SIGN WITHIN THE BOX

*We will use this bank account for all payments. The bank account needs to be in the Investor's name. Payments cannot be made to third-party accounts, credit cards and money market accounts. All payments from Coronation will be electronically transferred into your account. Collection requests from a third-party legal entity account must be accompanied by a resolution, copies of the ID documents and signatures of the signatories of the third-party. In the case of a third-party individual account the request must be accompanied by a copy of the ID document and three specimen signatures of the third-party.*



## H: ACTING ON BEHALF OF THE INVESTOR

For example, guardians and persons with Power of Attorney or mandate to act on behalf of disabled or insolvent persons.

☐ I'm acting on behalf of the Investor Representative capacity (e.g. guardian, trustee, etc.): \_\_\_\_\_

Title: \_\_\_\_\_ Surname: \_\_\_\_\_ Gender: \_\_\_\_\_

First name: \_\_\_\_\_ Middle name(s): \_\_\_\_\_

ID number (passport number if foreign national): \_\_\_\_\_ Date of birth: \_\_\_\_ [d] / \_\_\_\_ [m] / \_\_\_\_ [y]

Country of issue: \_\_\_\_\_

Are you a politically exposed person or a prominent influential person\*? Yes ☐ No ☐

\* An individual who has been entrusted with a prominent public function, for example Head of State, minister, senior judge, senior politician, military official or senior executive of a state-owned entity. You are also considered a politically exposed person if you are a family member or close associate of any of the above.

Country of birth: \_\_\_\_\_ Are you a US citizen or resident in the US for tax purposes? Yes ☐ No ☐

Are you a South African resident? Yes ☐ No ☐ If no, please specify country of residence: \_\_\_\_\_

Residential address: \_\_\_\_\_

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

Mobile number: ( \_\_\_\_\_ ) \_\_\_\_\_ Email address: \_\_\_\_\_

Are you a registered taxpayer? Yes ☐ No ☐ If yes, please complete the tax information below:

Country(ies) of Tax Residence	Tax Reference or Identification Number(s)
_____	_____
_____	_____
_____	_____

## I: FINANCIAL ADVICE

☐ I did not receive financial advice about this investment.

☐ I have received financial advice, but do not require Coronation to pay fees on my behalf.

☐ I have received financial advice from the financial adviser listed in this section. I instruct Coronation to deduct the following advice fees to pay the adviser on my behalf:

Initial advice fee: \_\_\_\_\_ % (Negotiable to a maximum 3%, exclusive of VAT). Applied to each deposit and deducted before the investment is made.

Annual advice fee: \_\_\_\_\_ % per annum of the market value of the investment portfolio, deducted and paid monthly in arrears. (Negotiable to a maximum 1%, exclusive of VAT. If an initial advice fee greater than 1.5% is selected, then the maximum annual advice fee is 0.5%).

This annual advice fee is not part of the normal annual management fee charged by the relevant fund(s). You may revise or terminate financial advice fees by written notice to us.

Signature of Investor or Authorised Representative:

SIGN WITHIN THE BOX





## FINANCIAL ADVISER DETAIL AND INFORMATION

To be completed by adviser.

Contact name: \_\_\_\_\_ Company: \_\_\_\_\_

Adviser account number: \_\_\_\_\_ Registration number: \_\_\_\_\_

FSP licence number: \_\_\_\_\_ Authorised adviser signature: \_\_\_\_\_

I/We

- declare that I/we am/are a licensed Financial Service Provider(s) and have made the disclosures required in terms of the Collective Investment Schemes Control Act, 2002, and the Financial Advisory and Intermediary Services Act of 2002, and subordinate legislation thereto, to the Investor.
- warrant that I/we have explained all fees that relate to this investment to the Investor and I/we understand and accept that the Investor may withdraw his/her authority for payment to me/us in writing to Coronation.

Signed at: \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, year \_\_\_\_\_

Signature of Investor or Authorised Representative:

SIGN WITHIN THE BOX

## J: INVESTOR DECLARATION

I/We understand and agree to be bound by the provisions of this application form. If on the date of signature of this application form an updated application form exists and the fees are different on that form, the fees on the updated application form will apply.

I/We understand, confirm and agree that:

- The information contained herein is true and correct, and that if this application form is signed in a representative capacity, I/we have the necessary authority to do so and that this transaction is within my/our powers. In such event, all declarations made hereafter must be regarded as having been made by the Investor him/her/itself save that the representative, in acting in a representative capacity, also provides his/her consent to the processing and/or use of his/her personal information by Coronation in accordance with the General Information and Conditions.
- I/We am/are acting for my/our own account and that I/we have made my/our decisions to enter into the investment and as to whether the investment is appropriate for me/us independently based upon my/our own judgement, and upon advice from such advisers as I/we may deem necessary. I/We declare that I am/we are not relying on any communication from Coronation, whether written, oral or implied as investment advice or as a recommendation to enter into the investment. I/We understand that information and explanations relating to the terms of an investment shall not be considered investment advice or a recommendation to enter into the investment.
- I/We hereby apply for a Coronation Endowment Plan and agree to be bound by these terms and conditions (as amended from time to time).
- I/We consent to the processing of my/our personal information by Coronation in accordance with the General Information and Conditions.
- I/We understand and agree that this application, together with the policy summary and terms and conditions that will be issued to me/us once Coronation Life has accepted my/our application, and any other related documents provided by me/us and accepted by Coronation Life, will govern the legal relationship between Coronation Life and me/us.
- I/We warrant that in making and maintaining such investment, I/we have and will continue to comply with all relevant legislation, including, but not limited to the Financial Intelligence Centre Act No. 38 of 2001 (FICA) and the Income Tax Act.
- I/We authorise Coronation Life to make all reports and statements pertaining to my/our investment available, in whatever format, to my/our appointed Financial Adviser, on his/her request.
- I/We hereby consent to Coronation Life making enquiries of whatsoever nature for the purpose of verifying the information disclosed in this application and I/we expressly consent to Coronation Life obtaining any other information concerning me/us from any source whatsoever to enable Coronation Life to process this application.
- Coronation will only be able to process investments on receipts of funds into the appropriate bank account, proof of deposit, and all relevant documentation and information (and to the extent necessary, verification thereof), including without limitation, receipt and/or verification of documentation and information that is required for Coronation to meet its obligations under the FICA.



- ▶ If the investment is cancelled after funds were deposited into our bank account, but before all relevant documentation and information (as required in terms of FICA or otherwise) was submitted and/or verified, Coronation shall be entitled to receive and/or verify any such outstanding documentation/information prior to processing a refund.
- ▶ Coronation will not be responsible for any failure, malfunction or delay of any networks, electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of applications and/or transactions. Coronation will not be liable to make good or compensate any investor or third party for any damages, losses, claims or expenses resulting there from.
- ▶ I/We will notify Coronation Life immediately if my/our tax residency or Foreign Account Tax Compliance Act ('FATCA') or equivalent classification changes in the future, or if there are any changes in circumstances that may impact on my/our tax residency status and/or FATCA classification.
- ▶ I/We acknowledge that, in the event of the investor not being in existence, I/we will be personally bound in respect of this transaction.
- ▶ I/We have read the appropriate comprehensive fact sheet information available on Coronation's website ([www.coronation.com/za/personal/complete-fund-range-fact-sheets](http://www.coronation.com/za/personal/complete-fund-range-fact-sheets)).
- ▶ I/We understand and agree that my/our investment is subject to the further terms contained in the General Information and Conditions document which may be amended from time to time. I/We confirm that I/we have read the General Information and Conditions document and hereby agree to be bound by the terms thereof (as amended from time to time). The latest version of the General Information and Conditions document is available on request from the Client Service Centre on 0800 22 11 77 or can be viewed on the website [www.coronation.com](http://www.coronation.com).

I/We indemnify Coronation against any loss or claims arising as a result of my/our (i) breaching the provisions of this application form and/or (ii) providing any false or inaccurate statements, acknowledgements, confirmations or information in this application form.

Name of Investor or Authorised Representative: \_\_\_\_\_

Signature:

SIGN WITHIN THE BOX

Date: \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y]

## NEXT STEPS

- ▶ Please send the completed form and documentation to [eflows@coronation.co.za](mailto:eflows@coronation.co.za) or 086 206 4098 (fax). A member of our client service team will contact you if more information is required.
- ▶ If we receive and verify all of the required documents before 14:00 on any given business day, the transaction will be executed using the next business day's closing price. You will receive SMS confirmation of the transaction on the next business day.
- ▶ You can manage your investments on our secure online platform. Simply register at [www.coronation.com](http://www.coronation.com) once you have received confirmation of your transaction and your investment number. If you are already registered, please link this endowment plan investment to your portfolio. You'll find this option under Linked Investments in the profile menu.
- ▶ Statements will be sent to you every quarter and all transactions will be confirmed via SMS, email and/or postal letter.
- ▶ Should you have any queries, kindly email [clientservice@coronation.co.za](mailto:clientservice@coronation.co.za) or call us on 0800 22 11 77.