

- 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).
- ☐ Statement by transferring fund (complete section E).
- ☐ Recognition of transfer (or such other form or information as may be required by the South African Revenue Service).
- ☐ 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: FUND**

I apply to become a member of the:

Coronation Preservation Pension Fund ☐ OR Coronation Preservation Provident Fund ☐

In terms of tax law;

- Transfers from a pension (preservation) fund must be transferred to the Coronation Preservation Pension Fund.
- Transfers from a provident (preservation) fund must be transferred to the Coronation Preservation Provident Fund.



## 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.

The relevant Fund requires that your investment adheres to the following limits: a maximum exposure of 75% of the investment amount to equity investments; 45% to international investments; 25% to property. Please refer to the Unit Trust Fee Schedule for a comprehensive list of available investment options. The available investment options may change from time to time.

In order to assist you to determine whether your selection of investment options complies with the above-stated limits, contact the Client Service Centre on 0800 22 11 77 or use the Quotes tool available on our website [www.coronation.com](http://www.coronation.com).

		Investment Allocation
<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 (Minimum single investment of R10 000)	Income	%
Defensive Income Fund	Income	%
SA Income Fund	Income	%
Active Income Plus 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>		%



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 transfer a Rand amount? Please complete section **2**
- Would you like to transfer units? 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

Transfer Investment (Minimum R50 000)\*

(Subject to section 14 certificate clearance as issued by the Financial Sector Conduct Authority (FSCA), where applicable)

If this transfer is an additional investment to your existing Preservation Fund, we require proof that it originates from the same source fund as the initial transfer.

☐ Deposit/electronic transfer

R \_\_\_\_\_ will be transferred into the Coronation Preservation Pension Fund or Coronation Preservation Provident Fund account (listed below) on \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y]\* and proof of payment sent to [eflows@coronation.co.za](mailto:eflows@coronation.co.za) or 086 206 4098 (fax).

\* This may be an estimate



Subject to a 7-day clearance period.

#### CORONATION PRESERVATION PENSION FUND - INVESTMENT ACCOUNT

Account holder	Bank	Branch	Branch code	Account number
Coronation Preservation Pension Fund - Investment Account	First National Bank	Cape Town Corporate Branch	204109	6209 092 2248

#### CORONATION PRESERVATION PROVIDENT FUND - INVESTMENT ACCOUNT

Account holder	Bank	Branch	Branch code	Account number
Coronation Preservation Provident Fund - Investment Account	First National Bank	Cape Town Corporate Branch	204109	6209 092 0531



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 fund(s) 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 UNIT TRANSFER

\_\_\_\_\_ units of the fund selected in section E will be transferred into the Coronation Preservation Pension Fund OR

Coronation Preservation Provident Fund on \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y]\*.

*\* This may be an estimate*

### E: TRANSFERRING FUND DETAILS (ONLY APPLICABLE IF TRANSFERRING FROM ANOTHER RETIREMENT FUND)



*Please ensure that a copy of this completed application form is forwarded to the transferring fund before sending it to Coronation.*

Registered name of transferring fund: \_\_\_\_\_

SARS fund number: \_\_\_\_\_

FSCA fund number: \_\_\_\_\_

Fund Type: Pension Fund ☐ Provident Fund ☐

Last day of employment (only applicable if transfer is due to termination of employment, merger or takeover):

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

Reason for transfer:

Resignation ☐ Retrenchment ☐ Dismissal ☐ Winding up of Fund ☐

Merger/take over of employer ☐ Voluntary transfer (only applicable to preservation funds) ☐

Name of administrator: \_\_\_\_\_

Contact person: \_\_\_\_\_

Contact telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_ Fax number: ( \_\_\_\_\_ ) \_\_\_\_\_

E-mail address: \_\_\_\_\_

### F: 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.*



## G: BENEFICIARY NOMINATIONS

You may only nominate beneficiaries who are natural persons to receive a benefit in the event of your death before retirement from the relevant Fund. Please note that the allocation to the beneficiaries is at the discretion of the Trustees, based on the provisions of Section 37C of the Pension Funds Act, No. 24 of 1956. Your nomination will serve to assist the Trustees in making these decisions although it may not be binding on them. You may alter your nomination at any time by notifying the relevant Fund in writing by completing a Beneficiary Nomination Form which must be received by the relevant Fund before your death.

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

	Beneficiary 3	Beneficiary 4
Surname		
First name(s)		
Relationship		
ID number (passport number if foreign national)		
Date of Birth		
Percentage		
Postal address		
Contact number		



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



## J: 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 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 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.
- If not already a member and where appropriate, I hereby apply for membership of the relevant Fund. I understand and agree that this application, the membership information summary and the rules of the Fund (both as amended from time to time) and any other related documents provided by me and accepted by the Fund, constitute the entire agreement between the Fund and myself.
- I am acting for my own account and that I have made my decisions to enter into the investment and as to whether the investment is appropriate for me independently based upon my own judgement, and upon advice from such advisers as I may deem necessary. I declare that I am not relying on any communication from Coronation or the Fund, whether written, oral or implied as investment advice or as a recommendation to enter into the investment. I 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 have not received any assurance or guarantees from the Fund as to the expected benefits, except that the benefits will be determined by reference to the value of the investment portfolio.
- I understand that the choice of the investment options is solely mine and I will not hold the Trustees liable for the choice. I retain the risk of and remain responsible for the selection of the investment options at all times.
- I authorise the relevant Fund to make all reports and statements pertaining to my investment available, in whatever format, to my appointed Financial Adviser, on his/her request.
- I hereby consent to the relevant Fund making enquiries of whatsoever nature for the purpose of verifying the information disclosed in this application and I expressly consent to the relevant Fund obtaining any other information concerning me from any source whatsoever to enable the relevant Fund to process this application.
- I consent to the processing of my personal information by Coronation in accordance with the General Information and Conditions.
- The Fund 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. The Fund will not be liable to make good or compensate any investor or third party for any damages, losses, claims or expenses resulting there from.





- Provided that the Administrator and/or the relevant Fund and/or any of their officers and employees exercise reasonable care and diligence in the management of my investments, the Administrator and/or the relevant Fund and/or their officers and employees shall not be liable to me or any third party for any loss sustained by me in terms of this agreement. Specifically, the Administrator and/or the relevant Fund cannot be held responsible for any acts or errors of commission or omission by third parties, or the timing standards, practices and procedures of third parties.
- I warrant that all the statements given in this application form, and in all documents which have been or will be signed by me in connection with this application, whether in my handwriting or not, are true and correct and shall form the basis of my agreement with the relevant Fund.
- If an investment is cancelled after funds were deposited into our bank account, but before all relevant documentation (as required in terms of the Financial Intelligence Centre Act No. 38 of 2001) was submitted, Coronation shall be entitled to receive any such outstanding documentation prior to processing a refund.
- I understand that the amount that is available to me on withdrawal prior to retirement from the relevant Fund may be restricted in terms of any benefits paid on leaving the transferring fund or restrictions imposed by the transferring fund, in terms of the rules of the relevant Fund and that these conditions will apply.
- I 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 understand and agree that my investment is subject to the further terms contained in the General Information and Conditions document which may be amended from time to time. I confirm that I 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 indemnify Coronation against any loss or claims arising as a result of my (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 preservation pension/provident fund 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.

Coronation Preservation Pension Fund | Coronation Preservation Provident Fund  
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PO Box 44684, Claremont, 7735 | Tel: +27 (21) 680 2000 | Fax: +27 (86) 206 4098 | Toll Free: 0800 22 11 77  
Website: [www.coronation.com](http://www.coronation.com) | E-mail: [eflows@coronation.co.za](mailto:eflows@coronation.co.za)