

- Please send the completed form and documentation to [transact@coronation.co.za](mailto:transact@coronation.co.za) or 086 677 0007 (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 (refer section L for more detail) before we can process your application:

- Copy of Trust Deed or founding document.
- Copy of Letter of Authority issued by the Master of the High Court (or such other official document if a foreign trust).
- If you are transacting on behalf of the Investor, a copy of your ID (South African bar-coded ID, valid passport (if foreign national)) and proof of your authority to act for the Investor.
- For each trustee/beneficiary/founder/donor/protector/settlor, a copy of their relevant ID (South African bar-coded ID, valid passport (if foreign national)) and/or registration documentation as per section L. If the founder is deceased we require a copy of the death certificate.

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: \_\_\_\_\_

Trust name: \_\_\_\_\_

Registration number: \_\_\_\_\_ Contact person: \_\_\_\_\_

### Entity type:

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Listed company                | <input type="checkbox"/> Unlisted company             | <input type="checkbox"/> Partnership             |
| <input type="checkbox"/> Government department/SOE     | <input type="checkbox"/> Close corporation            | <input type="checkbox"/> Retirement fund         |
| <input type="checkbox"/> Medical scheme                | <input type="checkbox"/> Collective investment scheme | <input type="checkbox"/> Trust                   |
| <input type="checkbox"/> Sole proprietor               | <input type="checkbox"/> Charitable organisation      | <input type="checkbox"/> Non-profit organisation |
| <input type="checkbox"/> Other (please specify): _____ |   |  |

Country of registration: \_\_\_\_\_ Country of business: \_\_\_\_\_

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

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

Business address is same as postal address

Business address: \_\_\_\_\_

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

Address of Master of the High Court: \_\_\_\_\_

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

Telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_ Mobile number of contact person: ( \_\_\_\_\_ ) \_\_\_\_\_

Email address: \_\_\_\_\_

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

### Industry of entity:

- |  |  |  |
|--|--|--|
| <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>1</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"/> Water supply & waste management   | <input type="checkbox"/> Wholesale & retail trade    |
| <input type="checkbox"/> Other (please specify): _____     |  |  |

<sup>1</sup> Banks, insurers, collective investment schemes, retirement funds, pension funds.



## C: TAX INFORMATION

We are required by law to ask for information from all clients on their international citizenship and tax residency status.

In an effort to reduce global tax non-compliance, the South African government has indicated its willingness for global co-operation and information sharing. Accordingly, South Africa has signed an Intergovernmental Agreement (IGA) with the United States to comply with the Foreign Accounts Tax Compliance Act (FATCA), a law directed at US citizens and US tax residents. South Africa was also one of the early adopters of the Organisation for Economic Co-operation and Development's (OECD) Common Reporting Standard (CRS).

Please note that the information contained in this form may be shared with the South African Revenue Service (SARS).

Refer Annexure A - Glossary of Terms to assist in understanding the different terms used in this section.

Should you be in any doubt regarding your answers to this section, please contact your tax adviser or our client service representatives at [clientservice@coronation.co.za](mailto:clientservice@coronation.co.za) or call 0800 22 11 77.

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)	Nature of identification number (E.g. income tax number, social security number, VAT registration number, etc.)

Should you be unable to provide your tax identification number (or any equivalent tax reference number) for any of the jurisdictions in which you are tax resident, please state the reasons:

\_\_\_\_\_

\_\_\_\_\_

### DIVIDENDS TAX - UNDERTAKING FOR EXEMPTION AND/OR REDUCED RATE:

To be completed by the beneficial owner (of dividends, including dividends in specie) in order for the exemptions from dividends tax referred to in section 64F read with sections 64FA(2), 64G(2) or 64H(2)(a) of the Income Tax Act, 1962 (Act No 58 of 1962) (the Act), or the reduced rate of dividends tax referred to in section 64F read with sections 64FA, 64G or 64H of the Act, as well as the provision of the Agreement for the Avoidance of Double Taxation and Prevention of Fiscal Evasion (DTA) between the Republic of South Africa and the country of residence of the beneficial owner, to apply.

#### Reason for Exemption:

Please indicate the reason why you are exempt from the dividends tax and/or why a reduced rate of dividends tax should apply:

#### South African tax residents:

- (a) - a company which is resident in South Africa
- (b) - the Government, a provincial government or municipality (of the Republic of South Africa)
- (c) - a public benefit organisation (approved by SARS ito section 30(3) of the Act)
- (d) - a mining rehabilitation trust contemplated in section 37A of the Act
- (e) - an institution, body, or board contemplated in section 10(1)(cA) of the Act
- (f) - a fund contemplated in section 10(1)(d)(i) or (ii) of the Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund)
- (g) - a person contemplated in section 10(1)(t) of the Act (CSIR, SANRAL, etc.)
- (l) - any person to the extent that the dividend constitutes income of that person
- (n) - any fidelity or indemnity fund contemplated in section 10(1)(d)(iii)

#### Non-South African tax residents:

- (j) - a person who is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of "dividend" in section 64D (i.e. a dividend on a foreign company's shares listed in SA, such as dual-listed shares) and/or a Double Taxation Agreement (DTA) exists between South Africa and the person's country of tax residence



### US Person Status:

- a) If you are incorporated or organised in the United States (and therefore a US Person), please confirm whether you are a Specified US Person (according to the glossary in Annexure A): Yes  No
- (b) If you are incorporated or organised in the United States, and not a Specified US Person, please confirm which category of exemption (set out in detail in Annexure A) is applicable. Kindly also provide supporting documentation confirming this status where possible.
- (c) If you are exempt in terms of point (b) above, but are unable to provide any documentary evidence to this effect, please state the reasons for this:

### FATCA/CRS CLASSIFICATION:

If you have indicated above that you are a US Person, please do not complete this section. Otherwise, kindly provide the information requested below. In providing this information, please consult the definitions set out in Annexure A.

#### 1. We are a Financial Institution as set out in Annexure A. Yes No

If yes, please complete 1 (a) or (b) below (as appropriate). If not, please proceed to question 2 below.

- (a) (i) Please provide your Global Intermediary Identification Number (GIIN): \_\_\_\_\_  
(ii) If you do not have a GIIN but you are sponsored by another entity which does, please provide your sponsor's GIIN and state your sponsor's name:

Sponsor name: \_\_\_\_\_ GIIN: \_\_\_\_\_

(b) If you are unable to provide a GIIN, please indicate your FATCA status by selecting one of the options below:

- We are an Exempt Beneficial Owner, as set out in Annexure A  
 We are a Deemed-Compliant Foreign Financial Institution, as set out in Annexure A  
 We are a Non-Participating Foreign Financial Institution, as set out in Annexure A

#### 2. If you are NOT a Financial Institution as set out in 1 above, please confirm your Non-Financial Foreign Entity (NFFE) status below:



*If you are not a Financial Institution, then you are required to select one of the following classifications. Failure to complete either (a) or (b) below will result in a Non-Participating Foreign Financial Institution classification.*

- We are an Active NFFE, as set out in Annexure A  
 We are a Passive NFFE, as set out in Annexure A



## D: 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 R5 000)	Debit Order (Minimum R500 per month)	All income earned from my investment should be invested back into the fund	or	All income earned from my investment should be paid into my bank account
<b>LOCAL FLAGSHIP FUNDS</b>						
Strategic Income Fund	Income			<input type="checkbox"/>	or	<input type="checkbox"/>
Balanced Defensive Fund	Income & growth			<input type="checkbox"/>	or	<input type="checkbox"/>
Capital Plus Fund	Income & growth			<input type="checkbox"/>	or	<input type="checkbox"/>
Balanced Plus Fund	Growth multi-asset			<input type="checkbox"/>	or	<input type="checkbox"/>
Top 20 Fund	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
<b>LOCAL SPECIALIST FUNDS</b>						
Money Market Fund (Minimum single investment of R10 000)	Income		N/A	<input type="checkbox"/>	or	<input type="checkbox"/>
Jibar Plus Fund	Income			<input type="checkbox"/>	or	<input type="checkbox"/>
Equity Fund	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
SA Equity Fund	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
Market Plus Fund	Growth multi-asset			<input type="checkbox"/>	or	<input type="checkbox"/>
Bond Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
Financial Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
Industrial Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
Property Equity Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
Resources Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
Smaller Companies Fund	Building block fund			<input type="checkbox"/>	or	<input type="checkbox"/>
<b>OFFSHORE FLAGSHIP FUNDS (Rand-denominated feeder funds*)</b>						
Global Strategic USD Income [ZAR] Feeder Fund	Cash deposit alternative			<input type="checkbox"/>	or	<input type="checkbox"/>
Global Capital Plus [ZAR] Feeder Fund	Capital preservation			<input type="checkbox"/>	or	<input type="checkbox"/>
Global Managed [ZAR] Feeder Fund	Growth multi-asset			<input type="checkbox"/>	or	<input type="checkbox"/>
Optimum Growth Fund	Growth multi-asset			<input type="checkbox"/>	or	<input type="checkbox"/>
Global Opportunities Equity [ZAR] Feeder Fund	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
Global Emerging Markets Flexible [ZAR] Fund**	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
Global Equity Select [ZAR] Feeder Fund	Growth equity			<input type="checkbox"/>	or	<input type="checkbox"/>
<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.

\* If you wish to invest in offshore funds that are denominated in other currencies and domiciled abroad, please complete the application forms listed under International Funds on [www.coronation.com](http://www.coronation.com). Coronation reserves the right to apply additional trading provisions on instructions for the global feeder funds. Refer to General Information and Conditions for more detail. These funds are made available subject to exchange control limits and may be temporarily closed from time to time.

\*\* 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.



## E: 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?

Company Profit  Capital Savings  Contributions  Donation  Grants

Other  please specify: \_\_\_\_\_

### 2 SINGLE AMOUNT

Please collect from my/our bank account:

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



*Subject to a 40-day clearance period. A maximum of R1 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 Management Company account (listed below) on

\_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y] and sent the proof of payment to [transact@coronation.co.za](mailto:transact@coronation.co.za) or **086 677 0007** (fax).



*Subject to a 7-day clearance period.*

BANK ACCOUNT FOR ALL FUNDS (EXCL. MONEY MARKET FUND)							
Account holder	Bank	Branch	Branch code	Account number	Account type	Bank address	Swift code
Coronation Management Company (RF) (Pty) Ltd	Nedbank	Cape Town	100909	1009 590 596	Cheque	Clock Tower Precinct, V&A Waterfront, Cape Town, 8001	NEDSZAJJ

MONEY MARKET FUND							
Account holder	Bank	Branch	Branch code	Account number	Account type	Bank address	Swift code
Coronation Management Company (RF) (Pty) Ltd	Nedbank	Cape Town	100909	1009 646 532	Cheque	Clock Tower Precinct, V&A Waterfront, Cape Town, 8001	NEDSZAJJ



*Electronic transfers: Internet transfers may take up to two days to reflect in our bank account. Please use the Investor's registered name (as per section B) 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 (or 12:00, for the Coronation Money Market fund) on a business day, the investment will be executed using that 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 Management Company (RF) (Pty) Ltd to draw against my/our bank account the debit order investment amounts in terms of this application on the 1st  7th  15th  28th  day of each month for the investment at the ruling price on that 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.

Please increase my/our 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 or authorised signatory:

SIGN WITHIN THE BOX

### F: REGULAR WITHDRAWAL PAYMENTS

I want to receive regular withdrawal payments from my investment.

Please withdraw R \_\_\_\_\_ (Rand amount) from my investment:

Every month  Once a quarter  Twice a year  Once a year

FUND NAME	Amount (Minimum R500 per fund)	or	% Per Fund
		or	%
		or	%
		or	%
		or	%
		or	%
Total amount to be withdrawn per period	R	or	

My first withdrawal payment should be deducted on \_\_\_\_\_ [d] / \_\_\_\_\_ [m] / \_\_\_\_\_ [y].

Withdrawals will be paid into your bank account up to two business days later. If the withdrawal date falls on a weekend or public holiday, the withdrawal will be processed on the next business day and paid into your bank account up to two business days later.



### G: YOUR BANK ACCOUNT

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

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

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

Signature of bank account holder or authorised signatory:

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 credit cards and money market accounts. All payments from Coronation will be electronically transferred into your account.*

### H: 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

### I: RELATED PARTY DETAILS

The Financial Intelligence Centre Act No. 38 of 2001 (FICA) requires us to identify the Investor, their Beneficial Owners/Controlling Persons and other representatives and to verify their identities. We do this to prevent money laundering and terrorist financing.

We are further required by law to ask for information from all clients and their Controlling Persons on their international citizenship and tax residency status.

In an effort to reduce global tax non-compliance, the South African government has indicated its willingness for global co-operation and information sharing. Accordingly, South Africa has signed an Intergovernmental Agreement (IGA) with the United States to comply with the Foreign Accounts Tax Compliance Act (FATCA), a law directed at US citizens and US tax residents. South Africa was also one of the early adopters of the Organisation for Economic Co-operation and Development's (OECD) Common Reporting Standard.

The information contained in this form may be shared with the South African Revenue Service (SARS).

To meet these requirements please provide information and supporting documentation (refer section L) for the following persons:

- ▶ Any natural person(s) authorised to act on behalf of the Investor.
- ▶ Any natural person(s) who ultimately has a controlling ownership interest of 25% or more in the Investor.
- ▶ Any natural person(s) who exercises control over the Investor through other means, e.g. persons exercising control through voting rights.
- ▶ Any natural and/or legal person(s) who exercises control over the management of the Investor, e.g.
  - Company: Executive Director and/or any other company official(s) exercising control over such company
  - Close corporation: All members and/or any other person(s) exercising control over such close corporation
  - Partnership: All partners and/or any other person(s) exercising control over such partnership
  - Trust: All trustees, named beneficiaries, the founder/donor/protector/settlor and/or any other person(s) exercising control over such trust
  - Other entities: All natural and/or legal person(s) exercising control over such entity



**1 RELATED PARTY - NATURAL PERSON:**

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

<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 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: \_\_\_\_\_

**Representative capacity:**

- Authorised Representative
- Founder
- Hold 25% or more of the voting shares
- Trustee
- Donor/Protector/Settlor
- Other (please specify): \_\_\_\_\_
- Beneficiary
- Exercise control

If you selected the "Authorised Representative" option above you may ignore this section. Otherwise, please complete this section for all Controlling Persons, as identified. This section may be completed by the Controlling Person identified, or by an individual authorised to act on behalf of the Controlling Person.

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)

A separate page must be completed for each beneficial owner/controlling person/authorised representative. Click below to duplicate the page. The duplicate page will be added at the end of this form.



**2 RELATED PARTY - LEGAL ENTITY:**

**Entity type:**

- Listed company
- Government department/SOE
- Medical scheme
- Sole proprietor
- Other (please specify): \_\_\_\_\_
- Unlisted company
- Close corporation
- Collective investment scheme
- Charitable organisation
- Partnership
- Retirement fund
- Trust
- Non-profit organisation

Registered name: \_\_\_\_\_

Trading name: \_\_\_\_\_

Registration number: \_\_\_\_\_ Contact person: \_\_\_\_\_

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

Is any beneficial owner, controlling person or authorised representative of the legal entity for which this application is being made politically exposed or a prominent influential person? 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 incorporation: \_\_\_\_\_ Country of business/head office: \_\_\_\_\_

Registered address: \_\_\_\_\_ Code: \_\_\_\_\_

Business address is same as registered address Yes  No

Business address: \_\_\_\_\_ Code: \_\_\_\_\_

**Representative capacity:**

- Exercise control
- Hold 25% or more of the voting shares
- Other (please specify): \_\_\_\_\_

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)

A separate page must be completed for each beneficial owner/controlling person/authorised representative. Click below to duplicate the page. The duplicate page will be added at the end of this form.



## J: AUTHORISED SIGNATORIES

The following individuals are authorised to sign all instructions sent on behalf of the Investor:

Full Name	Contact Number	Email Address	Signature

Please indicate whether you require a joint signing authority by making an election below:

- We instruct Coronation to only action instructions signed by all authorised signatories named above.
- We instruct Coronation to action instructions signed by any of the authorised signatories named above and agree to terms (a) to (d) below.
- Refer to the attached Authorised Signatory list.

Coronation will action instructions signed by any of the authorised signatories named above if no election is made.

We jointly and severally authorise Coronation to act upon instructions placed by any one signatory on behalf of the entity subject to terms (a) to (d) below:

- (a) We authorise Coronation to act upon the instructions given in writing with regards to the units in the Fund(s) that we have selected, signed or purportedly signed by any one of the signatories.
- (b) We confirm that these authorisations shall apply to any further units purchased, transferred or otherwise held by the entity.
- (c) We agree that this authorisation shall remain in force until notice signed by all the authorised representatives (e.g. directors) in writing of its termination or replacement is received by Coronation and any such notice shall be without prejudice to the completion of transactions already initiated by Coronation pursuant to the above terms.
- (d) We agreed that this authorisation shall be construed in accordance with and governed by the laws of South Africa.



## K: 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.
- ▶ In terms of the Intergovernmental Agreement (“IGA”) entered into between the governments of South Africa and the United States to improve international tax compliance and to implement the United States Foreign Account Tax Compliance Act (“FATCA”), Coronation is required to collect relevant information from each client to ensure their identification and classification is correct according to the IGA, and to report on certain clients to the South African Revenue Services where necessary (“SARS”), which may in turn report on such clients to the United States tax and other regulatory authorities, where appropriate.
- ▶ I/We understand that other governments may from time to time establish regulations that are similar to FATCA and enter into agreements with South Africa that are similar to the IGA and that in such event, information from clients, where applicable, may similarly be reported to SARS and/or to the tax or other regulatory authorities of such governments.
- ▶ I/We will notify Coronation immediately if my/our tax residency or FATCA/CRS classification changes in the future, or if there are any changes in circumstances that may impact on my tax residency status, FATCA/CRS classification or any other foreign tax classification.
- ▶ I/We undertake to advise Coronation promptly of any changes which cause any of the information contained in this form to be incorrect.
- ▶ I/We consent to the processing and/or use of my/our personal information by Coronation in accordance with the General Information and Conditions.
- ▶ 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 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 has provided access to performance fee information and the Performance Fee Frequently Asked Questions document, which can be viewed on the website [www.coronation.com](http://www.coronation.com).
- ▶ 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 understand the Coronation Fee Schedule, available under ‘Fees’ in the Forms section of Coronation’s website, which details the unit trust funds and fee information.
- ▶ 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 refer to the information that I/we have completed in section C - Tax Information (the “Tax Information Section”). I/We understand that Coronation may be legally obliged to disclose information contained herein to SARS and I/we do not object to this disclosure. I/We will notify Coronation immediately if any information disclosed herein changes or is no longer applicable. Furthermore:
  - where the beneficial owner is exempt from dividends tax, I/we hereby declare that dividends paid to the investor are exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above;
  - where the beneficial owner is a foreign resident and qualifies for a reduced rate of dividends tax, I/we declare that all the relevant requirements in terms of the relevant Article of the Agreement for the Avoidance of Double Taxation and Prevention of Fiscal Evasion (DTA) in force on the relevant date between the Republic of South Africa and the country of residence of the beneficial owner that has been specified in the Tax Information Section, as well as sections 64FA, 64G or 64H of the Act (whichever is applicable), have been met and that dividends paid on the shares are therefore subject to a reduced rate of dividends tax.
- ▶ 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.

1st Signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

2nd Signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

3rd Signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

4th Signatory: \_\_\_\_\_ Signature: \_\_\_\_\_

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

## L: SUPPORTING DOCUMENTATION

*(Copies of the supporting documentation are sufficient as long as all text and photographs are clear and legible).*

The following outlines the supporting documentation required in terms of FICA, as well as other documents required by Coronation. This documentation is necessary in order for Coronation to verify details listed in this application form.

**The following supporting documentation is required for the Investor and all related parties (trustees/authorised persons/beneficiaries/founder/donor/protector/settlor):**

### **Natural persons:**

ID document (SA residents) / passport (foreign nationals)  
Proof of authority to act on behalf of the Investor (where applicable)

**PLUS**, whichever one of the below sections is applicable:

### **SA companies:**

Certificate of Incorporation (CM1/COR14.3)  
Most recent CM29/COR39  
Certificate of Name Change (CM9) (where applicable)  
Proof of listing (where applicable)

### **Foreign companies:**

Official document from foreign regulator reflecting name, registration number and address, and any name changes since incorporation  
Proof that certain persons are entitled to act as directors of the company  
Proof of listing (where applicable)

**Close corporations:**

Founding Statement (CK1)

Amended Founding Statement (CK2) (where applicable) or Certificate of Incorporation

**Partnerships:**

Partnership Agreement

**Trusts:**

Trust Deed and Letter of Authority issued by the Master of the High Court

**Retirement funds:**

Registration Certificate issued by the Financial Sector Conduct Authority (FSCA) / relevant Regulator (foreign)

**Collective investment schemes:**

Registration Certificate issued by the FSCA / relevant Regulator (foreign)

**Medical schemes:**

Constitution or founding document under which the scheme was created

**Other legal entities:**

Constitution or founding document and proof of registered address

**NEXT STEPS**

- ▶ Please send the completed form and documentation to [transact@coronation.co.za](mailto:transact@coronation.co.za) or 086 677 0007 (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 (or 12:00, for the Coronation Money Market fund) on any given business day, the transaction will be executed using the same trading 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 unit trust investment to your portfolio. You'll find this option in the Manage Details section.
- ▶ 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.



## ANNEXURE A - GLOSSARY OF TERMS

Please review the Inter-Governmental Agreement (IGA) between the South African and United States governments and the Foreign Account Tax Compliance Act (FATCA) for detailed definitions of all terms. These documents are available on the US Treasury website, at <http://www.treasury.gov/resource-center/tax-policy/treaties/Pages/FATCA.aspx>.

Should any term remain unclear, we recommend that you seek advice from your tax adviser. You can also contact us at [clientservice@coronation.co.za](mailto:clientservice@coronation.co.za) or call 0800 22 11 77 for more information.

### Entity

A legal person or a legal arrangement, such as a company or trust.

### Exempt Beneficial Owner

These include government entities, central banks and certain investment entities. Please find the complete definition of exempt beneficial owners in Annex II of the Inter-Governmental Agreement between the US and South Africa.

### Financial Institution

A Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company. Please find the complete definitions of these terms in the South African IGA.

### Foreign Account Tax Compliance Act (FATCA)

FATCA promotes cross-border tax compliance by implementing an international standard for the automatic exchange of information related to US taxpayers. FATCA regulations require tax authorities to obtain detailed account information for US taxpayers on an annual basis and is intended to increase transparency for the Internal Revenue Service (IRS) with respect to US persons who may be investing and earning income through non-US institutions. While the primary goal is to gain information about US persons, FATCA imposes tax withholding where the applicable documentation and reporting requirements are not met.

### Common Reporting Standards (CRS)

Developed by the Organization for Economic Cooperation and Development (OECD), CRS is a global reporting standard for the automatic exchange of information (AEOI). The goal of CRS is to allow tax authorities to obtain a clearer understanding of financial assets held abroad by their residents, for tax purposes.

### Foreign Financial Institution (FFI)

A financial institution that is not resident in the US for tax purposes, including;

- A Participating FFI is an entity that entered into an IGA agreement to comply with FATCA.
- A Non-Participating FFI is an entity that does not comply with FATCA or an IGA agreement.
- A Deemed-Compliant FFI meets the requirements of FATCA without entering into an IGA agreement.
- A Partner Jurisdiction FI, is an FI within a jurisdiction that has entered into an IGA with the United States.

### Inter-Governmental Agreement (IGA)

The governments of South Africa and the United States signed a Model 1 IGA on 9 June 2014 to improve international tax compliance and to implement the Foreign Account Tax Compliance Act (FATCA).

### Non-Financial Foreign Entity (NFFE)

A Non-Financial Foreign Entity is any non-US Entity that is not an FFI as defined in Annex I of the IGA between SA and the US. The definitions for an Active NFFE and a Passive NFFE are also contained in the IGA.

### Partner Jurisdiction

A jurisdiction that has entered into an agreement with the United States to facilitate the implementation of FATCA. A Partner Jurisdiction Financial Institution is a financial institution established in a Partner Jurisdiction, but excluding any branch of such Financial Institution that is located outside the Partner Jurisdiction, and any branch of a Financial Institution not established in the Partner Jurisdiction, if such branch is located in the Partner Jurisdiction.

### US Person

US persons include:

- All US citizens or resident individuals.
- A partnership or corporation organised in the US or under the laws of the US or any State thereof.
- A trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more US persons have the authority to control all substantial decisions of the trust.
- An estate of a decedent that is a citizen or resident of the US.

This term shall be interpreted in accordance with the US Internal Revenue Code.





**A Specified US Person is a US Person, other than:**

- A corporation with stock that is regularly traded on one or more established securities markets, and any entity related to such a corporation.
- The United States government or governmental agency.
- A dealer in securities, commodities or derivative financial instruments that is registered under the laws of the US.
- An entity that is a bank, a broker or common trust fund, an organisation exempt from taxation, a real estate investment trust, a regulated company or a trust that is exempt from tax, as defined in the relevant US Internal Revenue Code.