

ENDOWMENT PLAN APPLICATION FORM

Companies, Close Corporations and other Legal Entities

CORONATION 
FUND MANAGERS
TRUST IS EARNED

Coronation Life Assurance Company Limited | SARS Registration Number: 1999/005510/06

- Initial any amendments made to the application form.
- Ensure that all information provided is accurate.
- No instruction will be processed unless all requirements have been met.
- The daily cut-off for receipt of instructions is 14h00.
- Forward your instruction to (021) 680 2250 or eflows@coronation.co.za.
- Should you have any queries regarding this application or if you would like an investment quote for comparison purposes, please contact the Coronation Client Service Centre on 0800 22 11 77.

A ENTITY DETAILS

New client: ☐ Existing client: ☐ Investor number: _____

Name of entity: _____

Trading name: _____

Company ☐ Close corporation ☐ Partnership ☐ Other legal entity: ☐ (please specify) _____

Contact name: _____

Company/close corporation registration number: _____

Are you a registered taxpayer? Yes ☐ No ☐ If yes, specify income tax number: _____

VAT registration number: _____

Registered address: _____ Code: _____

Physical business address: _____ Code: _____

Head office address: _____ Code: _____

Postal address: _____ Code: _____

Telephone number: (_____) _____ Fax number: (_____) _____

E-mail address: _____

Communication Method: Post ☐ E-mail ☐

B PERSONAL DETAILS OF LIVES ASSURED

	Life Assured 1	Life Assured 2
Surname		
First name(s)		
Relationship		
ID/Passport number		
Postal address		
Contact number		

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

C 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 the Financial Intelligence Centre Act, No.38 of 2001 (FICA) as well as other documents required by Coronation. This documentation is necessary in order for Coronation Life to verify the details as provided in this application.
- If supporting documentation in terms of FICA has been provided in full to another accountable institution and if Coronation Life has confirmed that such institution has provided written confirmation in terms of the exemption from Section 21 of FICA, the investor is not obliged to furnish Coronation Life with such supporting documentation. In this event we require only the proof of identity of the investor/ authorised person, power of attorney (if applicable) and proof of bank details.

PART 1

(a) Information to be specified in respect of every manager, close corporation member, partner and person authorised to transact on behalf of the entity:

- Person's full names
- ID or Passport number (for foreign national)
- Date of birth
- Residential address
- Contact particulars
- E-mail address

(b) Supporting documentation required in respect of every manager, close corporation member, partner and person authorised to transact on behalf of the entity:

Copy of ID or Passport (for foreign national) bearing ID or Passport number and photograph

☐

(c) Supporting documentation required in respect of companies, close corporations, partnerships and other legal entities:

Proof of VAT number (e.g. any SARS issued document bearing name and VAT number)

☐

Proof of registered address (e.g. registration documents)

☐

Proof of business address (e.g. bank statement, utility bill or telephone account less than three months old)

☐

Proof of trading name (e.g. copy of letterhead)

☐

Proof of banking details (e.g. bank statement or cancelled cheque less than three months old)

☐

(d) Additional supporting documentation required in respect of a company:

Copy of Certificate of Incorporation (CM1) bearing Registrar's stamp and company secretary's signature or such other official document for foreign companies

☐

Copy of Notice of Registered Office and Postal Address (CM22)

☐

(e) Additional supporting documentation required in respect of a close corporation:

Founding Statement and Certificate of Incorporation (CK1) bearing Registrar's stamp and company secretary's signature or such other official document for foreign companies

☐

Amended Founding Statement (CK2)

☐

(f) Additional supporting documentation required in respect of other legal entities:

Constitution or founding document

☐

(g) Additional supporting documentation required in respect of other trusts:

Trust deed

☐

Letter of authority by the Master of the High Court

☐

Trust number

☐

PART 2 (IF APPLICABLE)

(a) Information to be specified in respect of every holder of 25% or more of the voting rights within the entity:

If such holder is a natural person:

- Person's full names
- ID or Passport number (for foreign national)
- Date of birth
- Residential address
- Contact particulars

If such holder is a company / foreign company / close corporation / partnership / trust:

- Registered name
- Trading name
- Legal form
- Contact name
- Registration number (if applicable)
- Registered address
- Business address
- Contact particulars

(b) Supporting documentation required in respect of every holder of 25% or more of the voting rights within the entity:

If a natural person:

Copy of ID or Passport (for foreign national) bearing ID or Passport number and photograph

☐

If a company (SA/foreign) / close corporation / partnership / other legal entity / trust:

Proof of business address (e.g. bank statement, utility bill or telephone account less than three months old)

☐

Proof of registered address (e.g. registration documents)

☐

Proof of trading name (e.g. copy of a letterhead)

☐

If a company:

Copy of Certificate of Incorporation (CM1) and Copy of Notice of Registered Office and Postal Address (CM22)

☐

If a foreign company:

Copy of official document issued by an authority for recording the incorporation of companies

☐

If a close corporation:

Copy of Founding Statement, Certificate of Incorporation (CK1) and Amended Founding Statement

☐

If a partnership:

Copy of partnership agreement

☐

If other legal entity:

Copy of constitution or founding document

☐

If a trust:

Copy of trust deed and authority given by the Master of the High Court

☐

D INVESTMENT DETAILS

Lump sum investment – Minimum R10 000

RANDS _____, CENTS _____ Date of deposit/transfer: _____ / _____ / _____

Cheque deposit ☐

Electronic / Internet transfer ☐

Please note: Coronation Life requires proof of transfer or deposit before this application can be processed. Electronic transfers may not reflect immediately.

We hereby instruct and authorise Coronation Life or its assignees to draw against our account with the bank noted below (or any other bank or branch to which we may transfer our account).

Debit order investments – Minimum R500 per month and minimum R200 per fund

RANDS _____, CENTS _____ per month Escalation rate per annum (optional): 5% ☐ 10% ☐ 15% ☐

Commencement month: _____ Collection Date: ☐ 1st ☐ 4th ☐ 7th ☐ 10th ☐ 15th ☐ 28th

When selecting the recurring debit order option, the reference on your bank account will be the fund's abbreviated name and a 12 digit client number (e.g. 104104123450).

E INVESTMENT OPTIONS

Lump sum investments can be made directly into the investment options of your choice or be phased in over a period of time. Phasing in will only be allowed from the Coronation Money Market Fund.

Phasing in is not available for debit order investments. Investment to be phased in: Yes ☐ No ☐

If "Yes", please select phase-in period: 3 months ☐ 6 months ☐ 12 months ☐

Phase-ins are generated on the 9th of each month and priced on the 10th of the month. Should either of these days fall on a weekend or a public holiday, the process will take place on the next business day. A phase-in can only be processed on investments received before the 1st of that month. This may result in the phase-in being carried over to the next month.

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.

Coronation Unit Trust Funds	Investment Allocation	
	Lump Sum	Debit Order
Strategic Income Fund	%	%
Balanced Defensive Fund	%	%
Capital Plus Fund	%	%
Balanced Plus Fund	%	%
Top 20 Fund	%	%
Global Strategic USD Income [ZAR] Feeder Fund	%	%
Global Capital Plus [ZAR] Feeder Fund	%	%
Global Managed [ZAR] Feeder Fund	%	%
Global Opportunities Equity [ZAR] Feeder Fund	%	%
*Global Equity Select [ZAR] Feeder Fund	%	%
*Global Emerging Markets Flexible [ZAR] Fund	%	%
SA Equity Fund	%	%
Equity Fund	%	%
Market Plus Fund	%	%
Optimum Growth Fund	%	%
Property Equity Fund	%	%
Money Market Fund	%	%
Jibar Plus Fund	%	%
Bond Fund	%	%
Financial Fund	%	%
Industrial Fund	%	%
Resources Fund	%	%
Smaller Companies Fund	%	%
Total	1 0 0 %	1 0 0 %

*exit fees may apply

F METHOD OF PAYMENT

- Cheque deposit* ☐ All cheques must be endorsed as NOT TRANSFERABLE and should be deposited directly into the relevant Endowment Plan bank account by the investor or forwarded to Coronation. Please insert the investor's initials, surname and/or ID number in the reference section on the proof of deposit/transfer in order to assist the Administrator with processing the application. The maximum value payable by cheque is R500 000.
- Electronic/Internet Transfer* ☐ Electronic internet transfers may take up to 2 days to appear in our bank account. Units may only be priced upon confirmed receipt of documentation and funds into the relevant Endowment Plan bank account. Please insert the investor's initials, surname and/or ID number in the reference section on the proof of deposit/transfer in order to assist the Administrator with processing the application.
- Electronic collection ☐ Funds are deducted from the investor's bank account 2 business days after the receipt of a valid and complete application form and supporting documentation. Electronic collection is restricted to a maximum of R1 000 000 per debit. Where a higher amount than this is requested, multiple debits will be processed over a number of days subject to R1 000 000 per day. Please complete the bank account details in the Bank Details section if you select this option.
- Regular debit order ☐ Please complete the Banking Details section if you select this option.

CORONATION BANK ACCOUNT DETAILS

*Please make all cheques payable to the Coronation Endowment Plan. All deposits relating to intended investments to the Plan must be made into one of the following bank accounts:

Coronation Endowment Plan - Companies & Trusts

Account name: Coronation Life Assurance Company Ltd
Bank: First National Bank
Branch: Cape Town Corporate Branch
Branch code: 204109
Account number: 62091380297

Proof of deposit must be forwarded to the Client Service Centre on fax number (021) 680-2250 or e-mail eflows@coronation.co.za. Transactions will not be processed without proof of deposit.

G BANKING DETAILS

The details specified below must be in the investor's name and will be used for all future banking transactions until such time as we are notified in writing of any changes.

Bank: _____ Account number: _____

Branch name: _____ Branch code: _____

Type of account: Current ☐ Transmission ☐ Savings ☐

Name of account holder: _____

Signature of account holder/authorised person: _____

Name of authorised person if account holder is a non-natural person: _____

Capacity of authorised person if account holder is a non-natural person: _____

Please note: A cancelled cheque or recent bank statement must accompany this application.

Any changes to the banking details must be forwarded in writing to Coronation Life, together with proof thereof.

Payments will not be made to third-party accounts, credit cards, money-market accounts or bond accounts.

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 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.

NB: 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)		
Relationship		
ID/Passport number		
Percentage		
Postal address		
Contact number		

	Beneficiary 3	Beneficiary 4
Surname		
First name(s)		
Relationship		
ID/Passport number		
Percentage		
Postal address		
Contact number		

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

I DIVIDENDS TAX - DECLARATION AND UNDERTAKING FOR EXEMPTION

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) to apply.

Nature of person / entity:

- | | |
|---|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Trust (any type) |
| <input type="checkbox"/> Listed company | <input type="checkbox"/> RSA Government, provincial administration, municipalities |
| <input type="checkbox"/> Unlisted company | <input type="checkbox"/> Retirement fund (pension, provident, benefit, RA etc.) |

Other (please provide a description/explanation of nature of the entity/person):

Country of residence (if non-SA resident): _____ Country where tax is payable: _____

Country of issue (if passport no. was provided in Section A: _____

Reason for Exemption:

Please indicate the reason why the investor is exempt from the dividends tax:

- | |
|--|
| <input type="checkbox"/> (a) - a company which is resident in South Africa |
| <input type="checkbox"/> (b) - the Government, provincial government or municipality (of the Republic of South Africa) |
| <input type="checkbox"/> (c) - a public benefit organisation (approved by SARS ito section 30(3) of the Act) |

- ☐ (d) - a trust contemplated in section 37A of the Act (mining rehabilitation trusts)
- ☐ (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.)
- ☐ (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)

Declaration in terms of sections 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) of the Act:

I _____ (full names in print please), the undersigned hereby declare that dividends paid to the investor is 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.

Undertaking in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I _____ (full names in print please), the undersigned undertake to forthwith inform Coronation Management Company (RF) (Pty) Ltd in writing should the circumstances of the investor referred to in the declaration above change.

Signature of investor/authorised signatory: _____

Capacity of signatory (if not the investor): _____ Date: _____ / _____ / _____

J DECLARATION BY INVESTOR

I/We understand and agree to be bound by the provisions of this application form.

I/We understand and/or confirm that:

- If not already an investor, 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 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 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.
- I/We authorise Coronation Life to accept instructions by facsimile or e-mail and hereby waive any claim that I/we may have against Coronation Life and indemnify Coronation Life against any loss incurred as a result of Coronation Life receiving and/or acting upon such communication. I accept the risk of communication method selected and understand that Coronation Life shall not be liable in the event that Coronation Life has not received the communication whether due to the failure, malfunction or delay of any networks or electronic or mechanical device or otherwise.
- Provided that the Administrator and/or Coronation Life and/or any of their officers and employees exercise reasonable care and diligence in the management of the Coronation Endowment Plan, the Administrator and/or Coronation Life and/or their officers and employees shall not be liable to me/us or a third party for any loss sustained by me/us in terms of the Coronation Endowment Plan. Specifically, the Administrator and/or Coronation Life cannot be held responsible for any acts or errors of omission or commission, or the timing standards, practices or procedures of third parties.
- I/We warrant that all the statements given in this application form, and in all documents which have been or will be signed by me/us in connection with this application, whether in my/our handwriting or not, are true and correct and shall form the basis of the investment with Coronation Life. I/We warrant that I/we are the beneficial owner(s) of the investment amount or that I/we are duly and validly authorised to invest the investment amount with Coronation Life, and that all monies deposited into the applicable Coronation Life account in respect of this Endowment Plan were obtained from legitimate sources. I/We further 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 and the Income Tax Act.
- 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/We warrant that I am/we are duly authorised to conclude this transaction on behalf of the investor(s).
- 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 confirm to Coronation Life that I am/we are acting on my/our own account and that this investment is my/our own independent decision. I/We understand that information, opinions and communication from Coronation Life, whether written, oral or implied are expressed in good faith and not intended as investment, financial, tax or legal advice. I/We have not received any assurance or guarantees from Coronation Life as to the expected benefits, except that the benefits will be determined by reference to the value of the investment portfolio.
- 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).
- I/We understand and agree to the Endowment Plan - General Information and Conditions document which may be amended from time to time. The latest version of this document can be requested from the Client Service Centre on 0800 22 11 77, or viewed on the website www.coronation.com.

Signed at _____ on this _____ day of _____ year _____

Signature of authorised person*: _____

Name of authorised person: _____

Capacity of authorised person: _____

* Please forward proof of authorisation.



FINANCIAL ADVICE FEES

(Please select one option)

☐

We acknowledge that we did not receive financial advice from either Coronation Life or a financial adviser. I will be noted as a Coronation Direct Client.

☐

I am a staff member and acknowledge that I did not receive financial advice from the Fund or a financial adviser. I will be noted as a Coronation Staff Client.

☐

We acknowledge that we have received financial advice from the Financial Adviser whose details are completed in the "Financial Adviser Details and Declaration" section below, who is our appointed Financial Adviser and we agree to payment of fees as follows:

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

Annual advice fee: ____ . ____ % per annum of the market value of the investment portfolio, charged and paid monthly in arrears (Negotiable to 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% exclusive of VAT).

This authority may be withdrawn by written notice to Coronation Life.

Signature of investor or authorised representative: _____



FINANCIAL ADVISER DETAIL AND DECLARATION

Contact name: _____ Company: _____

Adviser account number: _____ Registration number: _____

FSP License Number: _____ Authorised adviser signature: _____

An "Accountable Institution" includes, but is not limited, to the following list of institutions: a Bank, Long-Term Insurer, Management Company registered in terms of the Collective Investment Schemes Control Act, a person who carries on the business of rendering investment advice or investment brokering services including a Public Accountant who carries on such business, member of a stock exchange licensed under the Securities Services Act No.36 of 2004 and a person who has been approved or who falls within a category of persons approved in terms of the Financial Advisory and Intermediary Services Act No. 37 of 2002. If this section is completed by an "Accountable Institution" acting on behalf of the client, the supporting documentation on page 2 need not be submitted to Coronation*. Coronation may however request it where it is deemed necessary.

*The entity's SA income tax number, if applicable and proof of bank account is still required

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, No. 37 of 2002, and subordinate legislation thereto, to the investor.
- warrant what I/we have established and verified the identity of the investor(s) (and persons acting on behalf of the investor) in accordance with FICA and subordinate legislation thereto, and I/we will keep records of such identification and verification according to the provisions of FICA.
- 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 Life.

Signed at _____ on this _____ day of _____ year _____

Signature of financial adviser: _____

Kindly note that this form must be completed if you are investing on behalf of an entity (i.e. a juristic person, not an individual).

- Please complete the following sections and provide any additional information as specified. Should you have any questions, kindly contact us at clientservice@coronation.co.za or call 0800 22 11 77.
- It is important to please advise us immediately should any of the information (once completed) change in the future, or if there are any changes in circumstances that you believe could affect your tax residency or FATCA classification.
- The glossary in Annexure B provides you with a list of key terms used in this form.

BACKGROUND

Coronation Fund Managers is 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.

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

A US PERSON STATUS

(a) In which country are you incorporated or organised? _____

(b) 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 B): Yes ☐ No ☐

If you ticked "Yes", please provide your Tax Identification Number: _____

(c) 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 B) is applicable.

Kindly also provide supporting documentation confirming this status where possible.

(d) If you are exempt in terms of 1 (c) above, but unable to provide any documentary evidence to this effect, please state the reasons for this: _____

B TAX RESIDENCY

(a) Please state the country/ies where you are resident for tax purposes: _____

(b) If you are tax resident in countries other than South Africa and the United States, please state your tax identification number (or equivalent tax reference number) for each country:

Country	Tax reference number or identification number	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:

C FATCA CLASSIFICATION

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

1. We are a Financial Institution as set out in Annexure B. 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:

i. We are an Exempt Beneficial Owner as set out in Annexure B; Yes ☐ No ☐

If yes, please specify which Exempt Beneficial Owner category is applicable: _____

ii. We are a Deemed-Compliant Foreign Financial Institution, as set out in Annexure B; Yes ☐ No ☐

If yes, please specify which category of Deemed-Compliant Foreign Financial Institution is applicable: _____

iii. We are a Non-Participating Foreign Financial Institution, as set out in Annexure B; Yes ☐ No ☐

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

[Please note: If you are not a Financial Institution, then you are required to select one of the following classifications. Failure to complete either section A or B will result in a Non-Participating Foreign Financial Institution classification.]

(a) We are an Active NFFE as set out in Annexure B; Yes ☐ No ☐

If yes, please specify which category of Active NFFE applies: _____

(b) We are a Passive NFFE as set out in Annexure B; Yes ☐ No ☐

If yes, and you have one or more Controlling Persons, please complete Annexure A (Controlling Person Self-Certification.)

D CERTIFICATION

I/we have read and understood the above entity self-certification and hereby certify that the information provided in this entity self-certification form is, to the best of my/our knowledge and belief, true and correct in all material aspects. Should any of the information cease to be correct, I/we will notify Coronation Fund Managers thereof immediately. I/we understand that Coronation Fund Managers may be legally obliged to disclose the information contained in this form to the South African Revenue Services, and do not object to this disclosure.

Signature _____

who warrants that he/she is authorised to sign on behalf of the Entity set out herein

Designation _____ SIGNED at _____ on this _____ day of _____

ANNEXURE A - CONTROLLING PERSON(S) SELF-CERTIFICATION

Coronation has identified that you, being a Passive Non-Financial Foreign Entity, have one or more Controlling Persons. Please complete the following self-certifications for all Controlling Persons, as identified. This form may be completed by the Controlling Person identified, or by a client authorised to act on behalf of the Controlling Person.

Please provide the following information for each Controlling Person:

1. Is the Controlling Person an entity or a natural person? Entity ☐ Natural person ☐
2. In the case of a natural person, is the Controlling Person a US citizen or resident in the US for tax purposes? Yes ☐ No ☐
3. (a) Is the Controlling Person an entity incorporated or organised in the United States (and therefore a US Person) Yes ☐ No ☐
(b) If yes, and the entity is not a Specified US Person, please state the category of exemption that applies, as set out in Annexure B.
Please also provide supporting documentation confirming this.

4. (a) If you answered yes to 2 or 3 (a), please provide the following information (for the Controlling Person):

Name	Address	Identification number / Social security number / registration number	United States Tax Identification Number

- (b) If the client/Controlling Person is unable to provide a tax reference number for the Controlling Person, please indicate the reasons for this:

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

I/we have read and understood the contents of above Controlling Person self-certification and I/we warrant that all the information provided by me/us is, to the best of my/our knowledge and belief, true and correct in all material aspects. Should any of the information contained herein cease to be correct, I/we will notify Coronation Fund Managers of the change immediately. I/we understand that Coronation Fund Managers may be legally obliged to disclose the information contained in this form to the South African Revenue Services, and do not object to this disclosure.

Signature _____

who warrants that he/she is authorised to provide this information on behalf of the Controlling Person/client

Designation _____ SIGNED at _____ on this _____ day of _____

ANNEXURE B - 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 advisor. You can also contact us at clientservice@coronation.co.za or call 0800 22 11 77 for more information.

Entity

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

If you are in any doubt concerning the completion of the Entity Self-Certification form or the Controlling Person Self-Certification form, please contact us at clientservice@coronation.co.za or call 0800 22 11 77, or consult your tax advisor.