

## SANLAM CORPORATE NEW INVESTMENT BUSINESS FORM

<b>To:</b>	SC Investment Contracts (scic@sanlam.co.za) SCinvestmentinstructions (SCinvestmentinstructions@sanlam.co.za) SC Investments (SCInvestments@sanlam.co.za) Marie.duplessis@sanlam.co.za
<b>From:</b>	
<b>Email address</b>	

*In this form 'SC' means Sanlam Corporate, a division of Sanlam Life Insurance Limited, a registered long-term insurer and Authorised Financial Services Provider.*

SECTION A: Fund details		
Full registered name of Fund:		
FSCA Registration number:		
Fund email address:		
Registered Address of Fund: <i>(This address will be included in the policy as domicilium for the service of any notices or process):</i>		
Does the fund have a current investment policy with Sanlam Corporate?	NO	YES
If YES, please provide the policy number:		
Annual Revision Date	(for Financial Reporting purposes)	
Effective date of investment		
Estimated Size of Investment		

SECTION B: Administrator details		
Is Sanlam the appointed Retirement Fund Administrator?	NO	YES
Please complete if Sanlam is <b>not</b> the Retirement Fund Administrator:		
Name:		
Contact details:		
Group e-mail address:		

*Please see Section 1, supporting document 2, regarding Administrator's authorised signatories. (Only required if Sanlam is not the Retirement Fund Administrator)*

### SECTION C: Retirement Fund's full banking details for disinvestments (only required where Sanlam is not the Retirement Fund administrator)

Name of bank:		Account number:	
Branch code:		Reference number:	

*Please note: Payments to any other accounts must be authorised by the Board of the Fund. See Section I, supporting document 3, regarding the required bank statement. This refers to the bank account of the Retirement Fund.*

### SECTION D: Appointed Benefit Consultant

*This information is required to validate the Benefit Consultant when providing Fund related information*

Name:	
FSP code:	
E-mail address:	

### SECTION E: Appointed Investment Consultant

*This information is required to validate the Investment Consultant when providing Fund related information*

Name:	
FSP code:	
E-mail address:	

### SECTION F: Contact Person Details

Details of contact person(s) to receive investment policy documents and/or any related investment product changes

Name:	
Email address:	
Name:	
Email address:	

Details of contact person(s) to receive monthly investment statements

Name:	
Email address:	
Name:	
Email address:	

## SECTION G: Investment Portfolios

Please select the applicable portfolio/s

### Smoothed Bonus Portfolios

- Stable Bonus Portfolio
- Monthly Bonus Fund
- Sanlam Absolute Return Plus

### Market Value Portfolios

- Single Managed**

- Sanlam Cash Fund
- Sanlam Enhanced Cash Fund
- Sanlam Cautious Absolute Fund
- Sanlam Moderate Absolute Fund
- Sanlam Temperance Balanced Fund
- Sanlam Multi Asset Growth Fund
- SPW Balanced Fund
- SEB Inflation Annuity Tracker
- Sanlam Absolute Return Medical Fund
- SI Sustainable Infrastructure Fund \*see Section H to be completed"
- SI Direct Property Fund
- SI Property Impact Fund
- Sanlam Multi Asset Aggressive Fund

- Passive**

- Satrix Enhanced Balanced Tracker Fund
- Satrix High Equity Balanced Fund
- Satrix Medium Equity Balanced Fund
- Satrix Low Equity Balanced Fund
- Satrix Global Achiever Fund

- Multi-Managed**

- SMM 70
- SMM 50
- SMM 30
- SMM Cautious Absolute Fund
- SMM Moderate Absolute Fund
- SMM NUR Balanced Fund
- SMM Select Balanced Fund
- SMM Diversified Alternatives Global Fund
- Sanlam The Most Aggressive Portfolio
- Sanlam Accumulation Portfolio
- SI MM Global Equity Portfolio
- Sanlam Wealth Creation Portfolio
- Graviton Balanced Fund
- Graviton Low Equity Fund

Other Investment Plans
Please specify:

* SECTION H: SI Sustainable Infrastructure Fund (the Portfolio)				
<p><b>1. Liquidity Risk:</b> Policyholders will be exposed to liquidity risk due to the unlisted nature of the underlying investments.</p>				
<p><b>2. Income Distributions:</b> The Investment Manager will make quarterly distributions from income subject to available cash. The policyholder can elect to retain the income for reinvestment or have it distributed to the policyholder.</p> <ul style="list-style-type: none"> <li>• <i>Please select the applicable option:</i></li> </ul> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Interest Income: Reinvested</td> <td style="width: 20%;"></td> </tr> <tr> <td>Interest Income: Distributed to the policyholder</td> <td></td> </tr> </table>	Interest Income: Reinvested		Interest Income: Distributed to the policyholder	
Interest Income: Reinvested				
Interest Income: Distributed to the policyholder				
<p><b>3. Effective date:</b> means the date on which the policyholder makes a commitment to the portfolio and the terms and conditions of the policy become effective.</p>				
<p><b>4. Committed capital:</b> means the amount of capital committed by the policyholder for investment in the Portfolio.</p>				

SECTION I: Supporting Documents required
<p>1. Fill out the trustee register (Annexure C) and provide:</p> <ul style="list-style-type: none"> <li>• Full list of trustees / Principal Officer / Chairperson (name and surname) as well as including ID number and contact details.*</li> <li>• Appointment date of the above parties and term to be served</li> <li>• A copy of the authorised signatory list</li> <li>• Consultant/contact person for the Fund</li> </ul>
<p>2. In the event that the Fund elects someone other than the trustees or signatories to represent the Fund, an ID number of that individual and a resolution/Delegation of authority will be required.*</p>
<p>3. A full list of names and specimen signatures will be required in respect of the signatories of the Fund's appointed Retirement Fund Administrator on a letterhead of the Administrator. It is the responsibility of the Administrator to inform Sanlam Corporate of any changes to the authorised signatory list. The same list is required in respect of the authorised administration officials of Funds which handle their own administration. <b>(only required where Sanlam is not the appointed Retirement Fund Administrator)</b></p>
<p>4. A Fund bank statement not more than 3 months old is required as confirmation of bank details. <b>(only required where Sanlam is not the appointed Retirement Fund Administrator)</b></p>
<p>5. The Fund's FSCA registration certificate.</p>

\* If we cannot verify the ID number, we will request actual copy of the ID and proof of address.

The submission of this completed and signed new investment business form with the relevant documents serves as a valid instruction from the Fund to Sanlam Corporate to open the investment portfolio referred to in Section G.

Sanlam Corporate will contact the Fund to confirm receipt and processing of the instruction and issue an Investment policy to the Fund.

Signed on behalf of the Fund

***To be signed by two of the authorised signatories named in the attached Resolution (Annexure A) if available, otherwise the Chairman or Principal Officer and a board member.***

1. ....  
Name (in print) Capacity

.....  
Signature Date

2. ....  
Name (in print) Capacity

.....  
Signature Date

The board of trustees undertakes to communicate the information regarding investment portfolio changes contained in this form to its membership in clear and concise language as required by the amended Policyholder Protection Rules under section 62 of the Long-Term Insurance Act 1998 (Act No.52 of 1998).

# Annexure A RESOLUTION BY THE BOARD OF

(“Fund”)

The Board,

At its meeting on	(date), at	(place)
By round robin /in counterparts		

resolved that:

- Any two of the duly authorised signatories of the Fund Administrator (as per Section I, supporting document 2) be authorised to instruct SC regarding Fund transactions and information; provided that for a), b) and c) below, additional authorisation shall be provided from at least two Fund officials nominated as Fund authorised signatories.

*Actions requiring written confirmation signed by at least two Fund authorised signatories*

- Termination of Fund investments, not relating to general Fund administration payments.
- Changes to the Fund’s investment mandate / portfolio selection.
- Changes to bank details

- Any two of the following Fund officials be authorised to instruct SC regarding a), b) and c) above.

Initials and Surname (In Print)	Specimen Signature

- The Fund hereby approves that SC retrieve the information as per Section I, supporting documents 2 and 3 (bank account statement and authorised signatories) where Sanlam is the appointed Retirement Fund Administrator.
- The Fund hereby indemnifies SC for any loss or damages the Fund may suffer as a result of SC acting on a signatory which appears to be an authorised signatory. This indemnity will only apply where SC has acted with reasonable care.
- The Fund further indemnifies SC against any loss or damages the Fund may suffer in the event that the instruction forms are incomplete or incorrect.
- The Fund further resolves that it will advise SC in the event of changes to the Fund authorised signatories.
- The below signatures must appear on the trustee registrar but can’t be the same as nr.2 above.

Signed on this ..... day of ..... 20.....

\_\_\_\_\_  
Member of the Board

\_\_\_\_\_  
Name in print

\_\_\_\_\_  
Member of the Board

\_\_\_\_\_  
Name in print

## **Annexure B**

### **PARTY DUE DILIGENCE**

#### **Mandatory ongoing FIC Screenings**

In line with the FIC Amendment Act 2017 and other Party Due Diligence requirements, Sanlam has the obligation to identify and verify all persons and entities on first interaction and on an on-going basis thereafter. Should any concerns be raised, Sanlam will be obliged to act as prescribed in the Act, which may include the cessation of business between the parties.

#### **Provision and use of Personal Information**

Sanlam Life Insurance Limited ("Sanlam Life"), a subsidiary of Sanlam Limited, will process and protect your personal information as required by relevant laws and the Constitution of the Republic of South Africa ("RSA"). This may include health and financial information.

The personal information requested in this form is being collected and will be processed for the following purposes:

- To provide access to the investment portfolios as specified on this form; as well as the related administrative services;
- To comply with all legal regulatory requirements, including applicable codes of conduct in our industry such as FIC Amendment Act 2017 and other Party Due Diligence requirements;
- To protect Sanlam Life's interests and the interests of the retirement fund members invested in our portfolios;
- And any purposes related to the above.

If you do not provide the required information Sanlam Life cannot provide you with access to our services in terms of investment portfolios in this form.

We may share your personal information within the Sanlam Group\* and/or with other service providers where required for any of the purposes listed above, or with third parties where Sanlam Life is lawfully required to do so.

We may send your personal information to service providers outside the RSA for storage or further processing on Sanlam Life's behalf. We will not send your information to a country that does not have information protection legislation similar to that of the RSA, unless we have a binding agreement with the service provider which ensures that it effectively adheres to the principles for processing of personal information in accordance with the Protection of Personal Information Act, 2013.

You have the right to:

- Request a copy of your personal information as processed by Sanlam Life;
- Ask for an update and/or correction of your personal information;
- Object, on reasonable grounds, to Sanlam Life processing your personal information to protect your legitimate interest or where processing is necessary for pursuing the legitimate interests of Sanlam Life or a third party to whom the information is supplied or where processing is necessary for the proper performance of a public law duty by a public body;
- Lodge a complaint with the Information Regulator.

The Sanlam Group Privacy Notice is available on [www.sanlam.co.za](http://www.sanlam.co.za), alternatively it can be sent to you on request.

*\*Sanlam Group includes all the companies and businesses, whether corporate or unincorporated, that comprises the Sanlam Group or is under the direct or indirect control of Sanlam Limited, and includes its representatives.*

