

## Unit Trust Additional Investment form Individual and Non-Individual Investors (existing investors only)



### Transact Online

Transact on our Secure Online Services to save time.

- View and manage your portfolio online and securely.
- Top up, switch and disinvest from your investor account.
- Request tax, quarterly and ad-hoc statements.
- Update your personal details

To register, go to: <https://cp.sanlam.co.za>.



- Completing this form allows you to invest into a new fund or make an additional investment into your existing fund.
- View the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to [www.sanlamunittrustsmdd.co.za](http://www.sanlamunittrustsmdd.co.za).
- The [Terms and conditions](#) are available on the web. If you cannot access the link provided above this can be obtained from our Client Contact Centre.

**Completing the information correctly** will ensure that there is no delay in processing your request.

- Initial any changes you make on the form.
- The registered investor or authorised signatory must date and sign the form.
- Write instructions inside the allocated fields. All information outside the fields will be omitted.
- Return **pages 2 to 6** to us with the relevant additional sections below.
- Complete and return the following sections if applicable:
  - **Appoint a financial adviser / broker** - Form A
  - **Authorisation from bank account holder** - Form B



### If the bank account holder is a third party the following verification documents are required: Individuals

- Copy of the third party's identity document.

### Non-individuals

- A letter from the legal entity stating the list of authorised signatories.
- Copies of verification documents to verify the legal entity.
- Proof of address -utility bill not older than 3 months.
- Proof of banking details (copy of a bank statement, not older than 3 months) that includes a bank logo and date stamp.



### Our contact details

#### Send the completed form and supporting documents to:

E-mail [UTinstructions@sanlaminvestmentssupport.com](mailto:UTinstructions@sanlaminvestmentssupport.com)

#### If you have any questions, contact us at

E-mail [service@sanlaminvestments.com](mailto:service@sanlaminvestments.com)

Tel 0860 100 266

Website [www.sanlaminvestments.com](http://www.sanlaminvestments.com)



### Cut off times

#### Fund type

Sanlam Alternative Income Fund  
Money Market funds  
All other funds

#### Cut off time

11:00  
13:00  
15:00

**All required documents must be provided before the cut off time in order for your instruction to be processed on the same day.**

**Unit Trust Additional Investment Form**  
**Individual and Non-Individual Investors** (existing investors only)  
*(mandatory to send back with the form)***Investor details**

Investor code(s) \_\_\_\_\_

Title \_\_\_\_\_

Full name(s) and surname / Name of Legal Entity \_\_\_\_\_

ID number / Legal Entity Registration number \_\_\_\_\_

**OR**

Passport Number (if foreign national): \_\_\_\_\_

**Investor declaration**

I confirm that I:

- have read and understand the important notes, terms and conditions on the first page.
- have the authority and am legally competent to enter into and conclude this transaction, with the necessary legal assistance when it is required.
- are aware that the legal guardian must sign the instruction on behalf of a minor (if applicable).

Signature of Investor \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory\* \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory\* \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatories acting on behalf of the investor (e.g. parents / guardians of a minor and persons authorised to act on behalf of the investor).

## 1. Investment Instruction

Please select the fund you would like to invest in, and indicate the amount you would like to invest.

If you are unsure about which funds suit your needs, please consult your broker or Sanlam financial adviser.

Please review the full list of funds and the Minimum Disclosure Documents (MDD's) with applicable fund minimums and fees, refer to [www.sanlamunittrustsmdd.co.za](http://www.sanlamunittrustsmdd.co.za).

Core fund range	**Tax Free Savings Account Transfer (R)	Lump sum deposit <i>Please provide an estimate if amount is still to be confirmed</i> (R)	Lump sum collection (R)	Monthly recurring debit order (R)	Income distribution (please tick selection)	
					Reinvest	Pay out
<b>Conservative Fund Range - You are very careful and want to protect your capital</b>						
Sanlam Investment Management Enhanced Yield Fund - A1						
Sanlam Investment Management Active Income Fund - A1						
Sanlam Investment Management Money Market Fund - R						
<b>Cautious Fund Range - You'd prefer not to take risks but can be persuaded</b>						
Sanlam Investment Management Inflation Plus Fund						
<b>Moderate Fund Range - You are willing to take risks with some of your assets</b>						
Sanlam Investment Management Balanced Fund - A						
<b>Aggressive Fund Range - You are willing to risk more for maximum returns</b>						
Sanlam Investment Management General Equity Fund - A						
Sanlam Investment Management Top Choice Equity Fund - A1						

Other Funds	*Class	**Tax Free Savings Account Transfer (R)	Lump sum deposit <i>Please provide an estimate if amount is still to be confirmed</i> (R)	Lump sum collection (R)	Monthly recurring debit order (R)	Income distribution <small>(please tick selection)</small>	
						Reinvest	Pay out

\*Please note: If you do not specify a class you will be allocated to a default class.

\*\*If you intend to transfer money into your Tax Free Savings Account from another Tax-Free Product Provider, please provide your fund choice and an estimate of the amount under "Tax-Free Savings Account Transfer".

## 2. Source of funds for this investment

Please specify where the funds for this investment come from

Salary   
  Inheritance   
  Savings   
  Bonus   
  Other (Specify) \_\_\_\_\_

Do these funds originate from a Sanlam policy?   
 Yes    
 No    
 If "Yes", policy number \_\_\_\_\_  
 (Section 3 is not applicable)

### 3. Payment instructions

You have the following options for payment:

#### 3.1 We collect funds via debit order

Lump sum collection

- We will debit your bank account within 3 business days if all your documentation is in order.
- Amounts are restricted to a maximum of R1 million per debit. Use the EFT payment option in section 3.2 for amounts exceeding R1 million.

**and/or**

Monthly debit order on the \_\_\_\_\_ (dd) day of each month starting \_\_\_\_\_ (mmccyy)  
 (This date is only between the 1<sup>st</sup> and the 28<sup>th</sup>).

Annual increase \_\_\_\_\_ %

Annual increase date \_\_\_\_\_ (mmccyy)

#### Payment selection

Payment is from my existing bank account

OR

Payment is from my new bank account (**Complete Section 4**)

OR

Payment is from a third party bank account (**Complete Form B**)

**OR**

#### 3.2 You pay via an Electronic Fund Transfer (EFT)

Lump sum deposit

- Please complete an Additional Investment form. Kindly refer to your welcome letter for banking details, alternatively contact the Contact Service Centre for banking details.

**OR**

#### 3.3 Transferring in from another Tax-Free Product Provider

Tax Free lump sum transfer

- In addition to this form, a Tax Free Savings Account Transfer form is required to be completed. Please contact our Client Contact Centre to obtain this form.

Transferring Tax-Free Product Provider name \_\_\_\_\_

Tax Free Savings Account number to be transferred from \_\_\_\_\_

#### 4. Investor banking details

Use bank details for the following:

Debit order

Disinvestment

Income Distribution

Payments will only be made into the account of the registered investor. Payments cannot be made to third parties.

Bank account holder \_\_\_\_\_

ID number / Entity registration number \_\_\_\_\_

Name of bank \_\_\_\_\_

Account number \_\_\_\_\_

Name of branch \_\_\_\_\_

Branch code \_\_\_\_\_

Type of account    Current     Savings

I instruct and authorise Sanlam or its agents to draw direct debits from my bank account as per my instruction, and section 1 and 3.

Signature of bank account holder \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)  
(if applicable)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)  
(if applicable)



## Form A Appoint a financial adviser / broker

Complete and submit this section with your investment application form if you received advice from a financial adviser.

### Important information

Only one financial adviser is applicable per investor.

All fees are explained in the Minimum Disclosure Document (MDD).

Should you wish to change the financial adviser on your accounts, please complete an *Investor Details Update Form*.

#### Initial advice fee:

- Maximum amounts payable as an initial advice fee are explained in the MDD's.
- Initial advice fees are applied to each contribution and deducted before the investment is made on your Client Account.

#### On-going advice fee:

- This annual advice fee is not applicable to funds or classes where a trailer fee is already included in the service fee.
- The annual advice fee is calculated on the daily market value of the investment portfolio, paid to the financial adviser monthly. It is paid in arrears and from the sale of units from the investor's client account, thereby reducing the units.
- To cancel the on-going advice fee, complete an *Investor Details Update form*, available at [www.sanlamunitrusts.co.za](http://www.sanlamunitrusts.co.za)

### Financial adviser details

I wish to appoint the following financial adviser as the preferred adviser on all my Sanlam Collective Investment accounts.

Adviser / Broker code \_\_\_\_\_

Full name(s) \_\_\_\_\_

Surname \_\_\_\_\_

### Fee instruction

I agree to pay the following Initial and On-going Advice Fee (excluding VAT).

Unit Trust Fund Name	Initial Advice Fee %	On-going Advice Fee %

- If you do not fill in any fees, it will default to 0%.
- If the fund selected does not allow an On-going advice fee, the fee will default to 0%.
- If you have selected a fee greater than that of the fund's maximum, the fee will default to the fund's maximum.
- Any fees for existing investments indicated on this form will be applied to all future transactions.

Signature of Investor \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatory \_\_\_\_\_

Date \_\_\_\_\_ (ddmmccyy)

\*Authorised signatories acting on behalf of the investor (e.g. parents / guardians of a minor and persons authorised to act on behalf of the investor).

**Sanlam financial adviser / broker declaration**

**Sanlam financial adviser:**

**Financial advice**

It is the adviser's responsibility to complete the advice documents for this transaction and forward them, with this application form, to Sanlam.

**FICA declaration**

I confirm that the investor recorded in this application, or the person acting on their behalf, confirmed his / her identity with original, acceptable FICA documents.

Copies of these documents are attached.

Does this application replace the whole or part of an existing product? Yes  No

If "Yes", please provide a completed replacement advice record with the FAIS documents.

\_\_\_\_\_  
**Signature of Sanlam financial adviser**

**Broker:**

**FSP license**

I declare that I am a licensed financial services provider or a representative of a financial service provider. I am authorised to sell unit trusts.

FSP license number: \_\_\_\_\_

**FICA declaration**

I confirm that I have identified the investor of this application, as well as the person acting on their behalf (*if applicable*). I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 (FICA) and any legislation regulations or guidelines related to it.

Copies of these documents are attached.

\_\_\_\_\_  
**Signature of broker**





## Form B Authorisation from bank account holder

- Complete and submit this section if the payment is from a third party's bank account.
- Copy of Identity document is required for the third party payer.

Investor code(s) \_\_\_\_\_

Investor name and surname \_\_\_\_\_

### Third party information

Title \_\_\_\_\_ First name(s) \_\_\_\_\_

Surname \_\_\_\_\_

Date of birth \_\_\_\_\_ (ddmmccyy) Country of birth \_\_\_\_\_

ID number \_\_\_\_\_

**OR** Passport (if foreign national): \_\_\_\_\_ **OR** Social security number \_\_\_\_\_

Number \_\_\_\_\_

Expiry date \_\_\_\_\_

Country \_\_\_\_\_ (ddmmccyy)

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

Postal code \_\_\_\_\_

Country \_\_\_\_\_

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

Cell / Mobile \_\_\_\_\_

Relationship to investor \_\_\_\_\_

Occupation \_\_\_\_\_

Self Employed Yes  No 

Nature of your self-employment \_\_\_\_\_

Please specify where the funds for this investment come from.

 Salary  Inheritance  Savings  Bonus  Other (Specify) \_\_\_\_\_

### Third party banking details

Bank account holder \_\_\_\_\_

Name of bank \_\_\_\_\_

Account number \_\_\_\_\_

Name of branch \_\_\_\_\_

Branch code \_\_\_\_\_

Type of account Current  Savings 

### Declaration

I instruct and authorise Sanlam or its agents to draw direct debits against my bank account as per the instruction in section 1 and 3.

Signature of bank account holder \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)

Authorised signatory on bank account \_\_\_\_\_ Date \_\_\_\_\_ (ddmmccyy)