

INVESTMENTS

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Additional Lump-sum Investment Group Retirement Annuity

To ensure efficient handling of your application, it is important that all the initial stated requirements are supplied together with the completed application form. You agree to provide all documentation and information required in terms of the *Financial Intelligence Centre Act, 2017* as amended ("FIC Act"), and understands that Alexander Forbes Investments, as an Accountable Institution ("AI"), is prohibited from processing any business transactions on your behalf until all such documentation and information has been received as part of its customer due diligence procedures. We may also at any time require additional information to meet our statutory obligation in this regard as part of our due diligence procedure. Your prompt response to our requests, where the information form is incomplete or we have outstanding documentation or both, will assist us to meet your expectations.

Please complete all fields marked with an asterisk (*).

Member details

Member number

Surname*

Title First name(s)

Identity number* (passport number, if foreign national)

Cellphone number

Email address

Investment details

Your Portfolio selection

Which portfolio(s) do you want to invest in and how much do you want to invest?

Refer to the portfolio list available from your employer or professional body/society. This list details all portfolios available to you for investment and the applicable fees and charges.

Portfolio	Amount
	R
	R
	R
	R
	R
Total	R

For detailed information on the funds and the total investment charges, which consist of transaction costs (TC) and the total expense ratio (TER), refer to the latest **FUND FACT SHEETS** that are available from your financial adviser, our website or our Contact Centre on 0860 333 316. (Click on the name to access the Fund Fact Sheets.)

Alexander Forbes Investments' banking details

In accordance with the requirements under the *Financial Intelligence Centre Act (FICA)*, we do not reflect our banking details on our forms. In order to meet our obligations in this regard, we will first establish and verify your identity before your financial adviser will send our banking details to you.

Payment details

Complete the once-off direct debit instruction below.

We may only collect up to R1 000 000 per business day by direct debit order. Where your amount exceeds this electronic collection limit, we will collect your direct debit over two or more days (as required).

We will debit your account within two (2) business days of receiving your instruction. We have a 45-day clearance period on all direct debits. Your once-off debit can therefore not be paid as part of any exit benefit from the Fund until the 45-day clearance period has expired.

Source of funds*

Where do the funds you are investing come from?

<input type="checkbox"/> Bonus (Annual and ad-hoc)	<input type="checkbox"/> Business earnings	<input type="checkbox"/> Company sale/sale of interest in company	
<input type="checkbox"/> Court-order	<input type="checkbox"/> Divorce settlement	<input type="checkbox"/> Donation	<input type="checkbox"/> Gift
<input type="checkbox"/> Inheritance	<input type="checkbox"/> Loan	<input type="checkbox"/> Maintenance	<input type="checkbox"/> Maturing investment
<input type="checkbox"/> Pension	<input type="checkbox"/> Property sale	<input type="checkbox"/> Retirement lump sum (1/3)	<input type="checkbox"/> Sale of other asset excluding property
<input type="checkbox"/> Sale of shares	<input type="checkbox"/> Savings	<input type="checkbox"/> Sole proprietor	<input type="checkbox"/> Winnings
<input type="checkbox"/> Other _____			

Source of income*

Where does your income come from?

<input type="checkbox"/> Annuity payments	<input type="checkbox"/> Business earnings based on Industry activity (AFS)	<input type="checkbox"/> Commission
<input type="checkbox"/> Consultancy fee (Fixed Contract)	<input type="checkbox"/> Consulting - Contract for provision of services	<input type="checkbox"/> Grants
<input type="checkbox"/> Investment income	<input type="checkbox"/> Maintenance	<input type="checkbox"/> Rental income
<input type="checkbox"/> Royalty income	<input type="checkbox"/> Sole proprietor - Contract for provision of products/services	<input type="checkbox"/> Salary
<input type="checkbox"/> Other _____		

*This information is required by the *Financial Intelligence Centre Amendment Act, 2017*, to identify potential money laundering. We reserve the right to request documentary proof of your source of funds and/or source of income as indicated above.

Your once-off debit order details

Attach a bank statement or letter from the bank (not older than three (3) months) to confirm the banking details provided below. If this is not your bank account, attach the account holder's FICA documents. If the account holder is a legal entity, attach proof of authority to give this debit instruction. For a list of required [FICA DOCUMENTATION](#), click on the name to download the document.

Name of bank	Branch code
<input type="text"/>	<input type="text"/>
Branch name	
<input type="text"/>	
Account holder	
<input type="text"/>	
Account number	
<input type="text"/>	
Account type	
Current <input type="checkbox"/>	Savings <input type="checkbox"/>
Single direct debit	
R <input type="text"/> . <input type="text"/>	

I hereby authorise Alexander Forbes Investments to debit the above bank account.

Signature of account holder _____

Date / /

Phase-in

Our phase-in option allows you to invest a lump sum in the **GRA Banker** and switch (phase) this lump sum into other portfolios over your selected period.

- The minimum phase-in period is three (3) months, and will be allocated in equal amounts over the selected period
- A phase-in happens on the 10th of each month. Where your investment happens after the 10th of the month, you can only phase in on the 10th of the following month. If the 10th is not a business day, the phase-in will happen on the next business day
- Your documents must reach us by the 5th business day before the 10th of the month in which you choose to invest
- When you invest into the **GRA Banker** portfolio, your financial adviser may only charge a maximum initial fee of 0.60%.

Do you wish to use our phase-in option? ☐ Yes ☐ No

What is your phase-in period? ☐ 3-months ☐ 6-months ☐ 9-months ☐ 12-months ☐ 24-months

Phase in the amount of **R** .

Which portfolio(s) will you phase into?

Portfolio name	Rand amount or percentage				
	R	or	<input type="text"/>	<input type="text"/>	%
	R	or	<input type="text"/>	<input type="text"/>	%
	R	or	<input type="text"/>	<input type="text"/>	%
	R	or	<input type="text"/>	<input type="text"/>	%
	R	or	<input type="text"/>	<input type="text"/>	%
Total	R	or	<input type="text"/>	<input type="text"/>	%

Financial adviser details

Practice name

Name of adviser

FSP licence number

Adviser code

FAIS declaration

1. I/We declare that I/we am/are a licensed Financial Services Provider and have made the disclosures required in terms of the *Financial Advisory and Intermediary Services Act 37 of 2002* and subordinate legislation thereto, to the investor.
2. I/We declare that I/we have disclosed all the charges related to this investment to the investor and understand that the investor may cancel my/our charges and appointment at any time in writing.
3. I/We confirm that all information provided herein is true and correct and I/we have read and understood the content of this form.

FICA declaration

I/We confirm that Alexander Forbes Investments Limited is the primary accountable institution in terms of the *Financial Intelligence Centre Act (FICA)* and is responsible for the identification and verification of the investor. This application will only be processed if all FICA documentation has been received.

Signature of financial adviser _____

Date / /

Member declaration

1. I warrant that all the information provided by me in this application form, and all supporting documents, are true, accurate and complete at the date of submission.
2. I have not received advice from the Board of Trustees, Alexander Forbes Investments, my employer or the Administrator in respect of this application.
3. I agree that the Administrator may accept instructions from my financial adviser or another person authorised by me to act on my behalf in writing.
4. I understand that my financial adviser must be appropriately authorised in terms of the *Financial Advisory and Intermediary Services Act 37 of 2002*, and that if my financial adviser is not appropriately authorised, Alexander Forbes Investments is obliged by law to decline any instructions from the financial adviser.
5. I confirm that my appointed financial adviser will have access to my investments in electronic format as made available by the Administrator from time to time.
6. I acknowledge that the value of my fund credit is not guaranteed and can go up and down based on market performance of the portfolio I have chosen to invest in.
7. I agree to provide all documentation and information required in terms of the *Financial Intelligence Centre Act (FICA)*. I understand that Alexander Forbes Investments may not process any transaction on my behalf until they have received the required FICA documentation of all parties involved.
8. I agree that you will use my personal information to process this instruction and I agree that you may give my personal information to third parties in order to confirm my personal information and to process this instruction.
9. I confirm that I have been provided with an Effective Annual Costs (EAC) disclosure for this transaction, and have read and understood the effect on my investment. The EAC is a measure that has been introduced, to allow me to compare the charges that I incur and their impact on my investment's returns, when I invest in different financial products. As explained to me, the EAC is made up of four components: Investment management charges, advice charges, administration charges, and other charges, which is expressed as an annualised percentage. The figures only show the estimated impact of immediate and future charges, and do not include the impact of any charges that I have already incurred. I know that the effect of some of the charges may vary, depending on my investment period. The EAC calculation assumes that I terminate my investment in the financial product at the end of the relevant period.

Member signature _____

Date

d	d	/	m	m	/	y	y	y	y
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Alexander Forbes Investments Limited is a licensed financial services provider in terms of Section 8 of the *Financial Advisory and Intermediary Services Act, 37 of 2002*, as amended, FAIS licence number 711. This information is not advice, as defined in the Act. Please be advised that there may be representatives acting under supervision.

Company Registration Number: 1997/000595/06. **Pension Fund Administrator Number:** 24/217. **Long-term Insurer Number:** 00018/001. **Postal Address:** PO Box 786055, Sandton 2146. **Physical Address:** 115 West Street, Sandown 2196. **Telephone Number:** + 27 (0) 11 505 6000. The **COMPLAINTS POLICY** and **CONFLICT OF INTEREST MANAGEMENT POLICY** can be found on the website. Click on the name to download the document.