

## UNIT TRUST SWITCH FORM

### HOW TO INVEST

1. Please send the completed Application Form to Cadiz Collective Investments (RF) (Pty) Ltd ("the Manager") to [cadiz.manco@cadizpfs.co.za](mailto:cadiz.manco@cadizpfs.co.za).
2. Cut off times for receiving transactions are **13:00 (SA)** and **11:00 (SA)** for the Cadiz Money Market Fund on any business day.

### DETAILS

Existing Investor  Client Number

### INVESTOR

Names / Entity Name / Co. Registered Name

ID / Registered Number

Telephone  Telephone (W)

Cell  Fax

E-mail Address

### ACTING ON BEHALF OF INVESTOR \*

\* This is for Guardians / persons with Powers of Attorney

Title  Surname

First Name(s)  Male  Female

Date of Birth  Nationality

ID or Passport Number (if Foreign National)

Income Tax Number

#### Street Address

c/o

Unit

Complex

Street Number

Street

Suburb

City

Postal Code

#### Postal Address

Same as Street Address Yes  No

c/o

Line 1

Line 2

Line 3

Line 4

Postal Code

Country

Country

Telephone (H)  Fax

Telephone (W)  Cell

E-mail Address

Capacity

### SWITCH OPTIONS

Please select the appropriate fund and the number of units, or percentage or rand value to be switched.

From Unit Trust Fund Name	Units or Amount or Percentage	To Unit Trust Name	Additional Annual Advisor Fee <i>(Paid by the Investor to the advisor by sale of units)</i>	Units or Amount or Percentage	Distributions* (please tick)	
					Re-invest	Pay Out

### CHANGE OF DEBIT ORDER INSTRUCTIONS (IF APPLICABLE)

My debit order on this account to:

1.  Remain unchanged for the fund from which I am switching (for partial switches)

OR

2.  Be cancelled from

3.  Be changed to the fund into which I am switching to R

### APPOINTMENT OF FINANCIAL ADVISOR AND FEES

I, the appointed Financial Advisor for this investment application declare as follows:

Name of Financial Advisor

Name of Financial Services Provider (FSP)  FSP License Number

Financial Services Provider code

Licence Category Category I  Category II  Category IIA



and upon advice from such advisors as I may deem necessary. I warrant that I am not relying on any communication from the Manager, whether written, oral or implied as investment advice or as a recommendation to enter into the investment; it being understood that information and explanations relating to the terms and conditions of an investment shall not be considered investment advice or a recommendation to enter into the investment. I warrant that I have not received from the Manager any assurance or guarantee as to the expected results of the investment.

10. I understand that the Manager will accept instructions from my FSP only if duly appointed and authorised in writing by me. The Manager will not be held liable for any losses that may result from unauthorised instructions given to the Manager by my FSP.
11. I hereby authorise the Manager to furnish written reports to my duly appointed FSP, if applicable.
12. If I have appointed an FSP I authorise the payment of the negotiated fees to be paid to my FSP from my portfolios. This authority to pay fees may be withdrawn by written notice to the Manager.
13. I authorise the Manager to accept and act upon instructions by facsimile or e-mail and hereby waive any claim that I have against the Manager and indemnify the Manager against any loss incurred as a result of the Manager receiving and acting on such communication or instruction.
14. SARS requires the Manager to pay over dividend tax on your behalf where applicable. The Manager will deduct this tax before it pays any dividends or re-invests these into your investment account. Unless the Manager receives information from you indicating otherwise, accounts held by South African trusts, companies and partnerships will attract the default Dividend Withholding Tax (DWT) rate of 20%.
15. Any personal information may be used by the Manager in the normal course of business to provide the products and services and the Manager may retain any information for purposes of investment transactions, processing and administration and to communicate directly with me. Personal information will not be given or sold to any third parties. The Manager will disclose or report personal information if and when required to do so by law or any regulatory authority, and to the Manager's employees (if relevant), or agents who require such information to carry out their duties. I/we consent to the processing of my/our personal information/data and the disclosure of my/our personal information/data to any tax authority and/or as may be required to comply with FATCA and the Common Reporting Standard (CRS) as explained in the Terms and Conditions and the Compulsory Foreign Tax Declaration and Self-Certification attached hereto. I consent to the Manager making enquiries of whatsoever nature for the purpose of verifying the information disclosed in this application and I expressly consent to the Manager obtaining any other information concerning me from any source whatsoever to enable the Manager to process this application.
16. I confirm that I have received, noted and understand the following information:
  - the Minimum Disclosure Document
  - Effective Annual Cost (EAC can be obtained on request from cadiz.manco@cadizpfs.co.za)
  - investment objectives
  - the calculation of the NAV and dealing prices
  - charges and fees
  - risk factors
  - distribution of income accruals
  - any additional information necessary to enable the investor to make an informed decision
17. I consider myself to be, or to be associated with, a Domestic Prominent Influential Person<sup>1</sup> or a Foreign Prominent Public Official<sup>1</sup>.  
 Yes  No   
 If 'Yes,' please provide details:

Signed at  Date

Full name of Signatory  Capacity

Signature of Investor / Legal Guardian

Signature of Investor's Authorised Representative\* (if applicable)

\*If signing on behalf of the investor please provide proof of authority and supporting verifying documentation.

**Domestic Prominent Influential Person** is an individual who holds, including in an acting position for a period exceeding 6 months, or has held at any time in the preceding 12 months, in the Republic, a prominent public function including that of:

- the President or Deputy President;
- a Government minister or deputy minister;
- a Premier of a province;
- a member of the Executive Council of a province;
- an executive mayor of a municipality;
- a leader of a political party registered in terms of the Electoral Commission Act;
- a member of a royal family or senior traditional leader;
- the head, accounting officer or chief financial officer of a national or provincial department or government component;
- the municipal manager of a municipality;
- the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the CFO or the CIO of a public entity listed in schedule 2 or 3 to the Public Finance Management Act;
- the chairperson of the controlling body, CEO, CFO or CIO of a municipal entity;
- a constitutional court judge or any other judge;
- an ambassador or high commissioner or other senior representative of a foreign government based in the republic;
- a high ranking officer of the South African National Defence Force;
- a chairperson of the board of directors, chairperson of the audit committee, the CEO or the CFO of a company that provides goods or services to an organ of state;
- head or other executive directly accountable to the head of an international organisation based in the Republic.

**Foreign Prominent Public Official** is an individual who holds, or has held at any time in the preceding 12 months, in any foreign country a prominent public function including that of a –

- Head of State or head of a country or government;
- member of a foreign royal family;
- government minister or equivalent senior politician or leader of a political party;
- senior judicial official;
- senior executive of a state owned corporation; or
- high-ranking member of the military.

## CONTACT CADIZ COLLECTIVE INVESTMENTS (RF) (PTY) LTD

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