



COMPLETE THIS FORM DIGITALLY



- All sections must be completed in full using BLOCK LETTERS
- Indicate all options selected by means of a cross [X].
- 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 or receipt of instructions is 12h00 and 10h00 for Money Market Fund instructions.
- You may opt to complete this form digitally - it requires Adobe Acrobat Reader DC. Download it to your device by clicking on the icon above.
- Completed forms should be faxed to +264 (61) 249 444, emailed to clientservices@namasset.com.na or by clicking the Submit Form button.
- Should you have any queries regarding this application, please contact us on +264 (61) 275 700.

A INVESTOR DETAILS

Title: Surname: Gender:

First Name(s):

ID or Passport Number (if foreign national): Country of Issue:

Date of Birth: Are you a Namibian Resident: Yes No

If no, please specify country of residence:

Country of Birth: Are you an Asylum Seeker/Refugee? Yes No

Residential Address:

Postal Address is same as residential address/ No postal address:

Postal Address:

Home/Phone Number: Telephone (Work):

Next of Kin Phone No.: Cellphone Number:

Email Address:

Occupation: Employer:

Occupation Details (please tick the closest accurate choice)

Please provide us with details of your primary occupation. If you are retired, please complete your last employment details.

- | | | |
|--|---|---|
| <input type="checkbox"/> Managing Director, Senior Managing Official | <input type="checkbox"/> Manager | <input type="checkbox"/> Non-Executive Director |
| <input type="checkbox"/> Non-Management Employee | <input type="checkbox"/> Self-Employed, Owner | <input type="checkbox"/> Senior Management, Executive |

Industry of work: (Kindly select the appropriate industry below)

- | | | | |
|--|--|---|---|
| <input type="checkbox"/> Education | <input type="checkbox"/> Accommodation & Food Services | <input type="checkbox"/> Gas & Electricity | <input type="checkbox"/> Information & Communication |
| <input type="checkbox"/> Agriculture | <input type="checkbox"/> Administrative & Support Services | <input type="checkbox"/> Gems & Jewellery | <input type="checkbox"/> Private Household Services |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Engineering & Scientific Services | <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Professional & Technical Services |
| <input type="checkbox"/> Mining | <input type="checkbox"/> Arts & Entertainment | <input type="checkbox"/> Financial Services | <input type="checkbox"/> Health services, Medical Aid & Social Work |
| <input type="checkbox"/> Real Estate | <input type="checkbox"/> Transportation & Storage | <input type="checkbox"/> Wholesale & Retail Trade | <input type="checkbox"/> Water Supply & Waste Management |
| <input type="checkbox"/> Other (Please Specify) <input type="text"/> | | | <input type="checkbox"/> Unemployed (Minor, Student, Retired) |

Are you retired? Yes No If yes, please specify your last employment details Industry, Employer and Occupation and your retirement date:



A

SOURCE OF FUND DECLARATION FOR INVESTMENT:

Please specify the source of funds for this transaction:

Source of Income (for any intended future investment contributions):

Additional Source of Income (If any):

Please note: We reserve the right to request additional information and /or documents evidencing the declaration made above.

Political Exposure:

Are you a Prominent Influential Person? Yes No

If yes, please specify:

Are any of your immediate family or close associates Prominent Influential Persons? Yes No

If yes, please specify:

¹In terms of the Financial Intelligence Act, no 13 of 2012 as amended, a PIP is defined as a person in a prominent public position or function, whether in Namibia or a foreign country, listed in schedule 6, but is not limited to a person who previously occupied a prominent public position or function but has vacated such position or vacation and; a person who is or has been entrusted with a prominent position by an international organisation. but have since vacated such positions or functions. These are Foreign PEPs, Domestic PEPs, International organisation PEPs, Family members and Close associates.

Are you a 'US' person?

NUTM is registered as a reporting financial institution and is obligated to comply with the FATCA legislation. If NUTM identifies or becomes aware that you, amongst other things, fall into the definition of a US person, you may be required to submit additional documents or provide further information.

I am not a US person. If you have any US details such as US domiciled bank account, a US address or a US phone number, please complete the IRS form W-8BEN-E (www.irs.gov/pub/irs-pdf/fw8bene.pdf) in addition to this form.

I am a US person and have enclosed with this form a completed IRS Form W-9. A copy of this form can be found at www.irs.gov/pub/irs-pdf/fw9.pdf

Tax details of the Investor:

Are you a registered tax payer of the Republic of Namibia? Yes No If yes, please provide this Tax/GIN reference number:

Country(ies) of Tax Residence	Tax Reference or Identification Number(s)

Withholding tax applies to distributions made to certain investors in the Unit Trust Portfolios. In the event that you are an individual/entity who/which should not be subject to withholding tax, please tick the block below.

Exempt from Namibian withholding tax on interest. *You may be required to provide documentary proof of exemption.*

Acting on behalf of an Investor, Authorised Representatives and Joint Signatories - Complete Annexure A.





B

(I) INVESTOR BANK DETAILS

Name of Account Holder:

Name of Bank: Branch Name:

Branch Code: Account Number:

Type of Account: Current Transmission Savings

Signature of Account Holder (or Authorised Representative)



NUTM will use this bank account for all payments. The bank account needs to be in the Investor's name. Payments cannot be made to credit cards and money market accounts. All payments from NUTM will be electronically transferred into your account. No payments will be made to third-parties (i.e. payments will only be made to the bank account in the name of the registered investor).

(II) SUPPORTING DOCUMENTATION

- The following outlines the supporting documentation required in terms of the Financial Intelligence Act No.13 of 2012 or as amended as well as other documents required by Namibia Unit Trust Managers (NUTM).
- Copies of the supporting documentation are sufficient as long as all the text and photographs are clear and legible.

Please indicate with (x) in the block only when the requirement is met, if not leave the block blank.

Namibian National & Residents:

- Namibia Bar-Coded ID (Blue card); or
- Namibian Non-national (Pink card) ID card (NB: front & back required); or
- Valid Namibian Passport; or
- Namibian full Birth Certificate (only if minor child)

Foreign National:

- Valid Foreign Passport; or
- Namibian Non-national (Pink card) ID card (NB: front & back required); or
- Domicile letter (if married to a Namibian and not granted citizenship yet) +marriage certificate and;
- Proof of Residential Address (not older than 3 months)

NAM Requirements for Natural Persons:

- NAM completed application form
- Proof of banking details (e.g., bank statements or bank confirmation letter less than three months old)
- Domicile letter (if married to a Namibian and not granted citizenship yet) +marriage certificate and;
- Source of funds confirmation for the investment (Any document that validates and/or verify business activities/revenues/ Employment/Occupation details)



C

(I) CHOOSE YOUR INVESTMENT



Before making a decision, please review the fact fund sheets of the different funds on www.namasset.com.na. We also recommend that you speak to a financial adviser, who can assess your investment needs.

I/We hereby apply to invest in the NUTM collective investment schemes in accordance with the provisions of the relevant Deed of each fund at the respective fund/s price/s ruling on the date of receipt of the monies by NUTM, subject to receipt of a duly completed Application Form, proof of payment and all relevant supporting documentation.

Table with columns: NEED, Lump Sum Investment (Min. N\$5 000), Debit Order (Minimum N\$500 p.m.), Annual Debit Order Increase (Enter Percentage), Income Distribution Reinvested OR, Income Distribution Deposited to Bank Account. Rows include LOCAL SPECIALIST FUND, LOCAL FLAGSHIP FUNDS, and OFFSHORE FLAGSHIP FUND.

Note: Your investment may earn income distributions (interest and/or dividends). If no section is made above, NUTM will automatically reinvest income distributions earned on your investment which means you will receive additional units.

(II) REGULAR DEBIT ORDER AUTHORITY

Complete this section if you are setting up a debit order or if you would like NUTM to collect your lump sum investment from your bank account.

I/We the undersigned, authorise Namibia Unit Trust Managers to draw against my/our bank account the debit order investment amounts in terms of this application on the [2nd] [21st] [26th] of each month, commencing on: [] [] []



If the debit order date fall on a weekend or public holiday, collection will take place on the next business day.

All such payments from my/our account will be treated as though they have been signed by me/us personally, and I/we request the bank to debit my/our account with these amounts. I/We acknowledge that debit order investments are subject to a 30 calendar days clearance period, no redemptions will be processed on these uncleared investment amounts during that period.

If the debit order is collected from a third party bank account, Bank account holder should complete "Third-Party contributor" form and required supporting documents (A copy of the third party's identity document, bank statement and proof of residential address) must accompany this form.

I authorise NUTM to collect a debit order to the amount of [N\$] from my/our bank account as per below selection:

- Use my Personal Bank Account Details provided in Section B
Or
Use my/our bank account listed below (bank statement / bank confirmation letter, not older than 3 months must accompany this form):

Form fields for: Name of Account Holder, Name of Bank, Branch Name, Branch Code, Account Number, Type of Account (Current, Transmission, Savings)

Signature of Account Holder (or Authorised Representative) [] [] []

MINIMUM INVESTMENT

- Lump sum minimum : N\$5 000 (except Money Market Fund N\$10 000)
Minimum regular debit order : N\$500
Minimum holding per fund : N\$500*

*NUTM reserves the right to redeem holdings less than the prescribed minimum amount.



D

PAYMENT METHODS

Electronic / Internet transfer (EFT) Electronic/Internet transfers may take up to two days to appear in the NUTM bank account. If you will be making a lump sum payment via EFT, we will provide you with the banking details once we have received your completed application form and required supporting documents. Units bought with EFT payments are subjected to a 14 days clearance period and can only be withdrawn after 14 business days.

Electronic collection by NUTM Electronic collection is a once-off direct debit from the investors bank account and is restricted to a maximum of N\$ 1 000 000 per day collected in multiples of N\$ 250 000 permitted debits. Funds are deducted from the investors bank account one business day after receipt of a valid application form and required supporting documents. Units bought with a once-off direct debit payments are subjected to a 14 days clearance period (only eligible for withdrawal after 14 business days).

Please note:

- NUTM do not accept monies in cash either directly at the Manager or by a bank deposit, such monies will be returned to the originating source net of any related bank charges
- Investment instructions must be accompanied by a valid proof of transfer to ensure prompt processing
- For electronic payments please use your surname and initials or registration number (legal entities) as payment reference

NAM Coronation Strategic Income Fund

Account Holder: NAM Coronation Strategic Income Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 000 3620

NAM Coronation Capital Plus Fund

Account Holder: NAM Coronation Capital Plus Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 000 3671

NAM Coronation Balanced Defensive Fund

Account Holder: NAM Coronation Balanced Defensive Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 000 3728

NAM Coronation Optimum Growth Fund

Account Holder: NAM Coronation Optimum Growth Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 032 9895

NAM Coronation Balanced Plus Fund

Account Holder: NAM Coronation Balanced Plus Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 000 3582

NAM Coronation Money Market Fund

Account Holder: NAM Coronation Money Market Fund
 Bank: Nedbank Namibia
 Branch: Windhoek
 Branch Code: 461-617
 Account Number: 1199 001 5688

E

REGULAR WITHDRAWAL METHODS

Selected monetary value per withdrawal: N\$

Selected withdrawal frequency: Monthly Quarterly Half-yearly Yearly

Selected first withdrawal month: payable up to two business days thereafter.

The minimum regular withdrawal is N\$500 per month per fund.

FROM FUND

Fund Name	Value of Regular Withdrawal	% Per Fund
NAM Coronation Money Market	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
NAM Coronation Strategic Income Fund	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
NAM Coronation Balanced Defensive Fund	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
NAM Coronation Capital Plus Fund	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
NAM Coronation Balanced Plus Fund	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
NAM Coronation Optimum Growth Fund	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %
Total amount to be withdrawn per period	N\$ <input type="text"/> or <input type="text"/>	<input type="text"/> %

Withdrawals will be paid into your bank account within 2-5 business days after the selected date of regular withdrawal. If the withdrawal date falls on a weekend or public holiday, the withdrawal will be processed on the next business day.



F

AUTHORISED SIGNATORIES

The following individuals are authorised to sign all instructions sent on behalf of the investor:

Full Name	Contact Number	Email Address	Signature

Please indicate whether you require a joint signing authority by making an election below:

- We instruct NUTM to only action instructions signed by all investors named above.
- We instruct NUTM to action instructions signed by any of the investors named in Section A and Annexure A and agree to terms (a) to (f) below.
- Refer to the attached Authorised Signatory list.

NUTM will action instructions signed by any of the investors named above if no election is made.

We jointly and severally authorise NUTM to act upon instructions placed by any one investor on behalf of all joint investors subject to terms (a) to (f) below:

- (a) We authorise NUTM to act upon the instructions given in writing with regard to the units in the fund(s) that we have selected, signed or purportedly signed by any one of the signatories in Section A and Annexure A.
- (b) We confirm that these authorisations shall apply to any further units purchased, transferred or otherwise held by the entity.
- (c) We agree that this authorisation shall remain in force until notice signed by all the authorised representatives in writing of its termination or replacement is received by NUTM and any such notice shall be without prejudice to the completion of transactions already initiated by NUTM pursuant to the above terms.
- (d) We agree that this authorisation shall be construed in accordance with and governed by the laws of Namibia.

G

COMMUNICATION FROM NAMIBIA ASSET MANAGEMENT

- Please send the completed form and documentation to clientservices@namasset.com.na or 061 249 444 (fax). A member of our client service team will contact you if more information is required.
- If we receive and verify all of the required documents before 12:00 (or 10:00, for the NAM Coronation Money Market) or any given business day, the transaction will be executed using the same trading day's closing price. You will receive an email confirmation of the transaction on the next business day.
- You can view your investments on our secure online platform. Simply register at www.namasset.com.na once you have received the confirmation of your transaction and your investment number.
- Statements will be sent to you every month and all transactions will be confirmed via email.
- Should you have any enquiries, kindly email clientservices@namasset.com.na or call us on 061275700.

All communication will be sent to you via email, otherwise by post. If you do not want your statements to be sent via email, tick this box:

H

NOTES / ADDITIONAL INSTRUCTIONS



GENERAL INFORMATION AND CONDITIONS

Capital Risk

Unit prices will fluctuate relative to the market value of securities comprising the funds' portfolios and increase or decrease accordingly. Should any guarantee be furnished against price fluctuations this shall be by a party other than the manager with details and costs clearly defined.

Redemptions

Units will be repurchased by the administrator at the net asset value calculated in accordance with the requirements of the Unit Trust Control Act and the relevant Trust Deeds and paid to the unit holder within 2 business days of the written request, unless the disinvestment exceeds 5% of the total fund value in which case the provisions of the Deed dealing with payment in respect of repurchases will apply. If the units to be repurchased are subject to a pledge, written consent is necessary for the transaction. Redemption from the NAM Coronation Optimum Fund may take 2-5 business days of the written request to be paid to the unit holder account due to the trading cycle of the fund. Repurchase instructions which include a change in your banking details must be accompanied by a copy of a recent bank confirmation letter or bank statement less than 3 months old.

Investor Communication

A transaction advice will be sent to you once your investment has been processed. Statements will be issued on a quarterly basis. Our client service consultants are available during business hours on 061 275 700 (Monday to Friday from 08h00 to 17h00).

Pricing and cut-off times

Forward pricing occurs at 15h00 each business day and at 17h00 on the last business day of each month. Units will be purchased at the ruling net asset value price on the date of your deposit by NUTM. Completed application forms and notification of deposits must be received before 12h00 and 10h00 for Money Market instructions. Cut-off time also applies to redemptions and switches (unless the amount being disinvested exceeds 5% of the total fund value). All purchases, except for debit orders (30 days clearance period), are subject to a 14 day clearance period in respect of subsequent redemptions. Distributions on purchases within the 30 day clearance period will be automatically reinvested.

Processing of Personal Information

You acknowledge that NUTM requires your Personal Information ("PI"), in order to perform its obligations fairly, competently, and in accordance with the law. You acknowledge that failure to provide complete and accurate PI to NUTM may lead to NUTM not being able to accept any investment placed with us or the suspension, closure or inability to transact or make further contributions to your investment account. You consent (and, if applicable, such consent applies to any person or entity that you are duly authorised to act on behalf of or in a representative capacity) to NUTM collecting, using, processing, storing, disclosing and verifying (collectively "process" or "processing") your PI for the purposes of, *inter alia*:

1. Generally administering, servicing and maintaining your investment account(s).
2. Communicating with you and your financial adviser/broker.
3. Providing your PI to any entity within the NUTM group of companies, with which you already have an existing relationship, or with which you are about to enter into a relationship, for the efficient servicing/administration of your investments.
4. Providing your PI to third parties (which may include consumer credit bureaus and other similar service providers) which assist with the verification of your information or assist in establishing and/or obtaining additional information as may be needed by NUTM to meet its regulatory obligations such as, but not limited to its regulatory obligations under the Financial Intelligence Act, 2012 (Act No. 13 of 2012) or as amended; or assist with the enforcement of agreements; or which store and/or maintain the PI; or which require the information to process your instructions or to otherwise provide a service to you for your investment, where such party has procedures in place to protect your PI.
5. Transferring your PI outside the borders of Namibia where the person receiving the PI is subject to and complies with similar data protection laws.
6. Providing your information to local and/or international regulatory authorities, law enforcement agencies and governmental departments, and any other person that NUTM is required, by law, to share your PI with.
7. Conducting research or servicing products. Where appropriate, your PI will be de-identified such that it cannot be linked back to you personally.
8. Meeting contractual/legal and/or regulatory obligations.

NUTM will ensure that controls are in place to protect your PI and will process your PI as permitted by law. If you feel we have not done so, you are entitled to contact us and object.

Your PI will be kept until such time as we are legally compelled to delete/destroy it. You have the right to request a copy of the PI that we hold and a right to request the correction thereof. It is your responsibility to inform NUTM of any changes to your PI.

Where you are acting in a representative capacity on behalf of an investor, all acknowledgements, agreements and consents contained herein are given by you on behalf of the investor and you warrant your authority to act in such a representative capacity.



J

FEES SCHEDULE

Fund Name	Initial Fee	Annual Management Fee	Performance Fee
NAM Coronation Money Market Fund	0.00%	0.50%	None
NAM Coronation Strategic Income Fund	0.00%	0.75%	None
NAM Coronation Balanced Defensive Fund	0.00%	1.15%	None
NAM Coronation Capital Plus Fund	0.00%	1.15%	None
NAM Coronation Balanced Plus Fund	0.00%	1.25%	None
NAM Coronation Optimum Growth Fund	0.00%	1.10%*	None

* Includes a 0.6% annual management fee paid to the underlying fund

K

INVESTMENT ADVISORY RELATIONSHIP

I acknowledge that I did not receive financial advice from either the NUTM or a financial advisor; OR

I acknowledge that I have received financial advice from a financial advisor, please complete Annexure B.

GOTO ANNEXURE B

L

DECLARATION BY INVESTOR

I/We understand and agree to be bound by the provisions of this application form. If on the date of signature of this application form an updated application form exists and the fees are different on that form, the fees on the updated application form will apply.

I/We understand and/or confirm that:

- The information contained herein is correct and that, if this application form is signed in a representative capacity, I/we have the necessary authority to do so and that this transaction is within my/our powers. I/we am/are acting for my/our own account and that
- I/we have made my/our decisions to enter into the investment and as to whether the investment is appropriate for me/us independently based upon my/our own judgement, upon advice from such advisors as I/we may deem necessary. I/We declare that I am/we are not relying on any communication from NUTM whether written, oral or implied as investment advice or as a recommendation to enter into the investment. I/We understand that information and explanations relating to the terms of an investment shall not be considered investment advice or a recommendation to enter into the investment.
- NUTM will only be able to process investments on receipts of funds into the appropriate bank account, proof of deposit, and all relevant documentation.
- NUTM will not be responsible for any failure, malfunction or delay of any networks, electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of applications and/or transactions. NUTM will not be liable to make good or compensate any investor or third part for any damages, losses, claims or expenses resulting there from. I/We understand the NUTM Fee Schedule which details the unit trust funds and fee information.
- I/We indemnify NUTM accordingly.
- I/We will notify NUTM immediately if my/our tax residency or Foreign Account Tax Compliance Act ('FATCA') or equivalent classification changes in the future, or if there are any changes in circumstances that may impact on my/our tax residency status and/or FATCA classification. I/We agree that Namibia Asset Management and/or Namibia Unit Trust Managers may share information about my/our tax residency status regarding this investment with the Internal Revenue Service (IRS) of the United States of America as required by FATCA.
- I/We have read the general information and conditions contained in Section I and **NUTM Terms & Conditions** and agree thereto.

Signature of Account Holder (or Authorised Representative)

Signature of Account Holder (or Authorised Representative)

SUBMIT FORM



A

ANNEXURE A - ADDITIONAL AUTHORISED REPRESENTATIVES

Title: Surname: Gender:

First Name(s):

ID or Passport Number (if foreign national): Country of Issue:

Date of Birth: Are you a Namibian Resident: Yes No

If no, please specify country of residence:

Country of Birth: Are you an Asylum Seeker/Refugee? Yes No

Residential Address:

Postal Address is same as residential address/ No postal address:

Postal Address:

Home/Phone Number: Telephone (Work):

Fax Numbers: Cellphone Number:

Email Address:

Occupation: Employer:

Occupation Details (please tick the closest accurate choice)

Please provide us with details of your primary occupation. If you are retired, please complete your last employment details.

- Managing Director, Senior Managing Official
- Non-Management Employee
- Manager
- Self-Employed, Owner
- Non-Executive Director
- Senior Management, Executive

Industry of work: (Kindly select the appropriate industry below)

- Education
- Agriculture
- Construction
- Mining
- Real Estate
- Other (Please Specify)
- Accommodation & Food Services
- Administrative & Support Services
- Engineering & Scientific Services
- Arts & Entertainment
- Transportation & Storage
- Gas & Electricity
- Gems & Jewellery
- Manufacturing
- Financial Services
- Wholesale & Retail Trade
- Information & Communication
- Private Household Services
- Professional & Technical Services
- Health Services, Medical Aid & Social Work
- Water Supply & Waste Management
- Unemployed (Minor, Student, Retired)

Are you retired? Yes No If yes, please specify your last employment details Industry, Employer and Occupation and your retirement date:

SOURCE OF FUND DECLARATION FOR INVESTMENT:

Please specify the source of funds for this transaction:

Source of Income (for any intended future investment contributions):

Additional Source of Income (If any):

Please note: We reserve the right to request additional information and /or documents evidencing the declaration made above.



A

Political Exposure:

Are you a Prominent Influential Person!? Yes No

If yes, please specify:

Are any of your immediate family or close associates Prominent Influential Persons!? Yes No

If yes, please specify:

¹In terms of the Financial Intelligence Act, no 13 of 2012 as amended, a PIP is defined as a person in a prominent public position or function, whether in Namibia or a foreign country, listed in schedule 6, but is not limited to a person who previously occupied a prominent public position or function but has vacated such position or vacation and; a person who is or has been entrusted with a prominent position by an international organisation. but have since vacated such positions or functions. These are Foreign PEPs, Domestic PEPs, International organisation PEPs, Family members and Close associates.

Tax details of the Investor:

Are you a registered tax payer of the Republic of Namibia? Yes No If yes, please provide this Tax/GIN reference number:

Country(ies) of Tax Residence	Tax Reference or Identification Number(s)

Withholding tax applies to distributions made to certain investors in the Unit Trust Portfolios. In the event that you are an individual/entity who/which should not be subject to withholding tax, please tick the block below.

Exempt from Namibian withholding tax on interest. *You may be required to provide documentary proof of exemption.*

Are you a 'US' person?

NUTM is registered as a reporting financial institution and is obligated to comply with the FATCA legislation. If NUTM identifies or becomes aware that you, amongst other things, fall into the definition of a US person, you may be required to submit additional documents or provide further information.

I am not a US person. If you have any US details such as US domiciled bank account, a US address or a US phone number, please complete the IRS form W-8BEN-E (www.irs.gov/pub/irs-pdf/fw8bene.pdf) in addition to this form.

I am a US person and have enclosed with this form a completed IRS Form W-9. A copy of this form can be found at www.irs.gov/pub/irs-pdf/fw9.pdf

Signature of Account Holder (or Authorised Representative):

 ▼ ▼ ▼



**B ANNEXURE B
FINANCIAL ADVISOR DETAIL AND DECLARATION**

To be completed by advisor

Name and Surname of Financial Advisor:

Name of Brokerage:

NUTM Financial Advisor Code: License Number:

Signature of Advisor:

- I/We
- Declare that I/we am/are a licensed Financial Service Provider(s) and have made the disclosures required in terms of the Namibian Unit Trust Control Act, 54 of 1981 and related subordinate legislation thereto to the investor.
 - Acknowledge and confirm that, in my/our capacity as the primary accountable institution with NUTM being the secondary accountable institution, I/we have established and verified the identity of the client and will keep records of such identification and verification according to the provisions of the Financial Intelligence Act No.13 of 2012 as amended ("the Act").
 - 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 write to NUTM to cancel authority for advice fee payment.

Signed at: on

Signature of Financial Advisor:

FINANCIAL ADVICE FEES

To be completed by investor

I hereby confirm that I have received financial advice from the financial advisor listed in this section. I instruct NUTM to deduct the following advice fees to pay the advisor on my behalf.

Initial advice fee: % (Negotiable to maximum 3%). Applied to each contribution and deducted before investment is made.

Annual advice fee: % per annum of the market value of the investment portfolio, charged by way of unit reduction and paid to the Financial Advisor monthly in arrears. (Negotiable to maximum 1%). If initial advice fee of greater than 1.5% is selected, then the maximum annual advice fee is 0.5%. This annual advice fee is not part of the normal annual management fee charged by the relevant Fund/s. You may terminate or revise financial advise fees by written notice to us.

Who should we communicate with?

We will send you / your financial adviser transaction confirmations, account statements and other communications.

Who should we send these communications to? Investor: Financial Adviser: Post Box:

If no option is selected, the communications will be sent directly to the Investor's email address.

Signature of investor or authorised representative:

Signature of investor or authorised representative: