

FICA Update Form - Individuals

Collective Investments (Unit Trust)

Important notes:

- Please ensure that **all fields** are completed and the form is signed as well as dated.
- **The following are to be submitted together with this form:**
 - Copy of your South African bar-coded ID/ Copy of ID card as issued by Department of Home Affairs (South African nationals)
 - Valid passport (if foreign national)
 - Birth certificate (if minor)
 - Proof of residential address (not older than 3 months)

NATURAL PERSON TYPE

PLEASE INDICATE THE PERSON NATURE: INDIVIDUAL SOLE PROPRIETOR FOREIGN INDIVIDUAL ASSISTED INSOLVENT ESTATE DECEASED ESTATE ASYLUM SEEKER REFUGEE

CLIENT DETAILS: INDIVIDUAL

TITLE	<input type="text"/>	NAME/S	<input type="text"/>
SURNAME	<input type="text"/>	ID/PASSPORT NUMBER	<input type="text"/>
ENTITY NUMBER	<input type="text"/>	PASSPORT EXPIRY DATE	<input type="text"/> - <input type="text"/> - <input type="text"/>
DATE OF BIRTH	<input type="text"/> - <input type="text"/> - <input type="text"/>	GENDER	<input type="checkbox"/> FEMALE <input type="checkbox"/> MALE
CELLPHONE (DIALING CODE) *	<input type="text"/> - <input type="text"/>		
EMAIL ADDRESS	<input type="text"/>		
COUNTRIES OF CITIZENSHIP	<input type="text"/>		
NATIONALITY	<input type="text"/>		

SOURCE OF INCOME

CODE:

<input type="checkbox"/> 01. Gifts / inheritance / winnings	<input type="checkbox"/> 04. Passive income (Rental, Dividends, Interest)	<input type="checkbox"/> 07. Retirement / insurance pay out
<input type="checkbox"/> 02. Trade / business	<input type="checkbox"/> 05. Savings	<input type="checkbox"/> 08. Salary / bonus
<input type="checkbox"/> 03. Credit	<input type="checkbox"/> 06. Child / spousal support payments	<input type="checkbox"/> 09. Tax refund

PURPOSE OF INVESTMENT

CODE:

<input type="checkbox"/> 01. Start and expand a business	<input type="checkbox"/> 02. Education savings	<input type="checkbox"/> 03. Foreign exchange hedging	<input type="checkbox"/> 04. Save for retirement / financial goals	<input type="checkbox"/> 05. Winding up estate
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OCCUPATION

CODE:

<input type="checkbox"/> 01. Executive / General	<input type="checkbox"/> 04. Management	<input type="checkbox"/> 07. Self employed	<input type="checkbox"/> 10. Clerical support
<input type="checkbox"/> 02. Heads of government / cabinet minister / judges	<input type="checkbox"/> 05. Professional	<input type="checkbox"/> 08. Unemployed	<input type="checkbox"/> 11. Craft and trades worker
<input type="checkbox"/> 03. Traditional leader / royal family	<input type="checkbox"/> 06. Religious leader	<input type="checkbox"/> 09. Technician, Sales or Services	<input type="checkbox"/> 12. General Staff
	<input type="checkbox"/> 13. Retired	<input type="checkbox"/> 14. Sports Professional	<input type="checkbox"/> 15. Security Services



INDUSTRY

CODE:

01. Government, state owned enterprise, armed forces	05. Politics	09. Administrative and support service	13. Professional, scientific, technical and education	17. Information, technology and communication
02. Gambling	06. Mining and quarrying	10. Agriculture, forestry and fishing	14. Electricity, water, gas supply and waste management	18. Manufacturing, wholesale or retail
03. Non-profit / religious organisation	07. Motor vehicles, transportation, distribution	11. Arts, entertainment, hospitality	15. Financial, investment and insurance	
04. Real estate	08. Unemployed	12. Construction	16. Human health and social work activities	

PHYSICAL ADDRESS

BUILDING / PLOT / FARM NUMBER AND NAME

STREET NUMBER AND STREET NAME

SUBURB CITY

COUNTRY OF RESIDENCE POSTAL CODE

RELATED PARTY (PERSON ACTING ON BEHALF OF INVESTOR / THIRD PARTY FUNDER IF APPLICABLE)

Please note: We will require FICA information for the person acting on behalf of the investor (e.g. parent / legal guardian / proxy etc) or the Third Party Funder to this investment application.

A **related party** is a person or an entity that is **related** to and acting on behalf of the the reporting entity: A person or a close member of that person's family is **related** to a reporting entity if that person has control, joint control, or significant influence over the entity or is a member of its key management personnel.

CAPACITY OF PERSON ACTING ON BEHALF OF INVESTOR * :

POWER OF ATTORNEY CURATORSHIP LEGAL GUARDIAN PARENT 3RD PARTY BANK ACCOUNT HOLDER

OTHER

IF PARENT, DOES THE MINOR LIVES WITH YOU: YES NO

RELATED PARTY DETAILS (PERSON ACTING ON BEHALF OF INVESTOR / THIRD PARTY FUNDER IF APPLICABLE)

TITLE NAME/S

SURNAME ID/PASSPORT NUMBER

PASSPORT EXPIRY DATE - -
D D M M Y Y Y Y

DATE OF BIRTH - -
D D M M Y Y Y Y GENDER FEMALE MALE

CELLPHONE (DIALING CODE) -

EMAIL ADDRESS

COUNTRY OF PRIMARY RESIDENCE

COUNTRY OF CITIZENSHIP

NATIONALITY

PHYSICAL ADDRESS DETAILS FOR PERSON ACTING ON BEHALF OF INVESTOR

BUILDING / PLOT / FARM NUMBER AND NAME

STREET NUMBER AND STREET NAME



SUBURB		CITY	
COUNTRY		POSTAL CODE	

TERMS AND CONDITIONS

- 1. Privacy:** It is important to us that you understand how we obtain, process, store, and share your information. This will apply to all the products and/or services which we provide to you, including any products and/or services provided by our affiliates and associates. When you open an investment with us, you give us permission to disclose information for the purposes described herein, including the information of dependents and beneficiaries. You consent to STANLIB collecting, processing, storing, and disclosing this information for the purposes of:
- 1.1. Administering your investment account and processing any instructions on the account.
 - 1.2. Communicating with you and your Financial Adviser/ broker.
 - 1.3. Providing your information to any entity within Standard Bank Group Limited, including its subsidiaries and affiliates, where you already have a relationship with, or where you have applied for a product or benefit from, such entity. This information will only be shared for the administration of your products or benefits by this entity.
 - 1.4. Providing relevant information to a contracted third party who requires the information to provide a service to you for your investment. We will ensure that the third party agrees to keep your information confidential and appropriately secured.
 - 1.5. Transferring your Personal Information outside the borders of the Republic of South Africa. We will ensure that anyone to whom we pass on your Personal Information agrees to treat your information with the same level of protection as we do.
 - 1.6. Providing information to industry registers such as ASISA, and contracted third parties, such as tracing agents, attorneys, debt collectors and other persons that assist with the enforcement of agreements.
 - 1.7. Providing your information to regulatory authorities, governmental departments, local and international tax authorities and other persons that STANLIB under the law have to share your information with.
 - 1.8. Payment processing for services providers, merchants, banks and other persons that assist with the processing of your payment instructions.
 - 1.9. Assisting law enforcement and fraud prevention agencies and other persons tasked with the prevention and prosecution of crime.
 - 1.10. Persons to whom STANLIB cede their rights or delegate their obligations to under agreements.
 - 1.11. Conducting research or servicing products. Where appropriate, this information will be de-identified such that it cannot be linked back to you personally.
 - 1.12. We undertake solely to collect and process your information as permitted by law. If you feel we have not done so, you have the right to contact us and object.
 - 1.13. We will take reasonable steps to ensure that all Personal Information you provided to us is kept secure and confidential.
 - 1.14. We will keep your Personal Information until such time as we are compelled to delete it, as prescribed by applicable law.
 - 1.15. If we become involved in a proposed or actual merger, acquisition, or any form of sale of assets, we may use and disclose your Personal Information to third parties in connection with the evaluation of the transaction. The surviving company, or the acquiring company in the case of a sale of assets, would have access to your Personal Information, which would continue to be subject to these terms.
 - 1.16. You have the right to request a copy of the Personal Information we hold about you. We are allowed to charge you a fee to provide this information to you.
 - 1.17. You have the right to request that we update, correct, or delete your Personal Information.

- 2. General**
- 2.1. The terms and conditions signed and agreed to in the Investment Application form will remain in force and apply to this transaction. Refer to your Investment application form for the detailed terms and conditions. Alternatively you can request a copy of the terms and conditions from your Financial Adviser or the Contact Centre on 0860 123 003.
 - 2.2. The Manager will endeavour to process a change of details instruction within a period of 48-hours, provided that there are no outstanding administrative issues between the Manager and the Client.
 - 2.3 **Electronic Transactions:** the Client agrees that the Manager shall be entitled to implement all instructions and applications of whatever nature received on their Internet site, by telephone or any other electronic medium and which appear to emanate from the Client. The Financial Advisor and the Manager is indemnified against any losses, claims or damages arising from acting on such instructions and/or applications, notwithstanding that it may later be proved that any such instruction was not given by the Client. The Client agrees that the electronic records of all instructions and applications processed by/or on behalf of him/her or which purport to be processed on behalf of the Client via the Manager's Internet site, telephone or any other electronic medium shall constitute prima facie proof of the contents of such instructions and applications.
 - 2.4 **Query Support and Middle Office:** STANLIB Compliance and Complaints, PO Box 202, Melrose Arch, 2076 Telephone: 0860 123 003.
 - 2.5 **Complaints:** Should the Client wish to lodge a complaint with STANLIB regarding the services being provided, the Client can locate STANLIB's Complaints procedure on www.stanlib.com/contactus/pages/furtherqueries.aspx, alternatively the Client can send an email to rateus@stanlib.com

INVESTOR DECLARATION

1. I/We acknowledge that I/We provide consent to STANLIB to collect, process, store, disclose and share my Personal Information for the purpose of servicing my investment.
2. I/We agree to provide all documentation and information requested in this document and further required by law and consent to STANLIB processing my information for the purposes stipulated within the Terms and Conditions.
3. I/We confirm that all information provided herein is true and correct and that I/We have read and understood the contents of this form.
4. I/We acknowledge and accept that the information contained in this form and information about the Account Holder may be provided to SARS. Further, that SARS may also exchange the information with the tax authorities of another country or countries in which the Account Holder may be tax resident.

If the information you have provided in this form changes in future, please submit a new form within 30 days. If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

SIGNATURE OF CLIENT / AUTHORISED SIGNATORY *	<input type="text"/>	DATE	<input type="text"/> - <input type="text"/> - <input type="text"/>
			<input type="text"/>
CAPACITY	<input type="text"/>	SIGNED AT	<input type="text"/>
SIGNATURE OF FINANCIAL ADVISER	<input type="text"/>	DATE	<input type="text"/> - <input type="text"/> - <input type="text"/>
		SIGNED AT	<input type="text"/>

