

## FIA Update Form - Legal Entities

### Collective Investments (Unit Trust)

#### Important notes:

- Please ensure that **all fields** are completed and the form is signed as well as dated.
- ID copies for all Related Parties are attached.
- Annexure A should be completed for all related parties. Should the entity have more than one related party, additional copies of the Annexure A contained within this form can be printed and completed for each related party.

#### Examples of related party:

**Beneficial owner:** has shares in the legal entity equal to or greater than 20% holding or owns the bank account used by the entity.

**Controlling Person:** exercises control over the entity, such as directors or executives

**Signatory:** binds a person/ entity to the terms of an agreement.

**Power of attorney:** has authorisation to represent or act on behalf of a person/ entity

#### ENTITY TYPE

<input type="checkbox"/> NON-PROFIT / CHARITIES	<input type="checkbox"/> TRUST	<input type="checkbox"/> INVESTMENT SCHEME	<input type="checkbox"/> LISTED COMPANY	<input type="checkbox"/> MEDICAL SCHEME	<input type="checkbox"/> RETIREMENT FUND
<input type="checkbox"/> SOCIAL CLUBS / STOKVEL	<input type="checkbox"/> CLOSE CORPORATION	<input type="checkbox"/> JOINT VENTURE	<input type="checkbox"/> LONG TERM INSURER	<input type="checkbox"/> PARTNERSHIP	<input type="checkbox"/> UNLISTED COMPANY
<input type="checkbox"/> BODY CORPORATE	<input type="checkbox"/> FOREIGN TRUST	<input type="checkbox"/> FOREIGN COMPANY			

#### CLIENT DETAILS: LEGAL ENTITY

REGISTERED NAME OF ENTITY	<input type="text"/>				
ENTITY NUMBER	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DATE OF INCORPORATION	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>
	D	D	M	M	Y Y Y Y
TAX IDENTIFICATION NUMBER	<input type="text"/>			REGISTRATION NUMBER	<input type="text"/>
CONTACT NUMBER	<input type="text"/>	COUNTRY OF TAX RESIDENCE	<input type="text"/>		
		EMAIL ADDRESS	<input type="text"/>		

#### SOURCE OF FUNDS

CODE:

<input type="checkbox"/> 01. Donations	<input type="checkbox"/> 04. Credit	<input type="checkbox"/> 07. Insurance pay out
<input type="checkbox"/> 02. Trade / business	<input type="checkbox"/> 05. Passive income (Rental / Dividends / Interest)	<input type="checkbox"/> 08. Tax refund
<input type="checkbox"/> 03. Venture capital	<input type="checkbox"/> 06. Savings	

#### PURPOSE OF INVESTMENT

CODE:

<input type="checkbox"/> 01. Start and expand a business	<input type="checkbox"/> 02. Treasury	<input type="checkbox"/> 03. Balance sheet management	<input type="checkbox"/> 04. Capital investment	<input type="checkbox"/> 05. Winding up estate
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#### BUSINESS ACTIVITY

CODE:

<input type="checkbox"/> 01. Entertainment / Hospitality	<input type="checkbox"/> 04. Sales	<input type="checkbox"/> 07. Administrative and support service	<input type="checkbox"/> 10. Maintenance
<input type="checkbox"/> 02. Management / Consulting	<input type="checkbox"/> 05. Trust Management	<input type="checkbox"/> 08. Distribution	<input type="checkbox"/> 11. Marketing
<input type="checkbox"/> 03. Production and supply	<input type="checkbox"/> 06. Customer service	<input type="checkbox"/> 09. Financial services	<input type="checkbox"/> 12. Wholesale and retail



## INDUSTRY

CODE:

<b>01.</b> Government, state owned enterprise, armed forces	<b>05.</b> Politics	<b>09.</b> Unemployed	<b>13.</b> Construction	<b>17.</b> Human health and social work activities
<b>02.</b> Gambling	<b>06.</b> Trust management	<b>10.</b> Administrative and support service	<b>14.</b> Professional, scientific, technical and education	<b>18.</b> Information, technology and communication
<b>03.</b> Non-profit / religious organisation	<b>07.</b> Mining and quarrying	<b>11.</b> Agriculture, forestry and fishing	<b>15.</b> Electricity, water, gas supply and waste management	<b>19.</b> Manufacturing, wholesale or retail
<b>04.</b> Real estate	<b>08.</b> Motor vehicles, transportation, distribution	<b>12.</b> Arts, entertainment, hospitality	<b>16.</b> Financial, investment and insurance	

## ADDRESS DETAILS

### PHYSICAL ADDRESS

BUILDING / PLOT / FARM NUMBER AND NAME

STREET NUMBER AND STREET NAME

SUBURB  CITY

POSTAL CODE  COUNTRY OF RESIDENCE / OPERATION

### POSTAL ADDRESS \*

SAME AS PHYSICAL ADDRESS

POSTAL ADDRESS TYPE  PO BOX  STREET ADDRESS  PRIVATE BAG  POSTNET SUITE

PO BOX NUMBER / STREET NUMBER  POST OFFICE NAME / STREET NAME

CITY OR TOWN  PROVINCE / STATE / COUNTY

POSTAL CODE  COUNTRY

\* Note that this is a compulsory field.

### DETAILS UPDATE \*

Please tick the appropriate field below for the change you wish to implement on your investment profile. If you are adding, please tick remove so we can remove details on record and fill in new details to be captured on record.

ADD  REMOVE

EMAIL ADDRESS  TELEPHONE NUMBER  CELLPHONE NUMBER  FAX NUMBER

NEW EMAIL ADDRESS  NEW FAX NUMBER

NEW TELEPHONE NUMBER  NEW CELLPHONE NUMBER

### \*Compulsory section

## CONTACT PERSON REPRESENTING LEGAL ENTITY

TITLE  NAME/S

SURNAME  ID/PASSPORT NUMBER

PASSPORT EXPIRY DATE  -  -  DATE OF BIRTH  -  -

D D M M Y Y Y Y D D M M Y Y Y Y

COUNTRY OF BIRTH

CELLPHONE (DIALING CODE)  -  TELEPHONE (DIALING CODE)  -

EMAIL ADDRESS



COUNTRY OF  
RESIDENCE

NATIONALITY

## TERMS AND CONDITIONS

**1. Processing of personal information** : It is important to us that you understand how and why we obtain, use, process, store, verify and share (collectively "process" or "processing" as defined in POPIA) your personal information.

STANLIB will only process your information for the following purposes:

- 1.1. To provide you with products and services;
- 1.2. To manage and administer your investments;
- 1.3. To communicate with you and/or your financial adviser;
- 1.4. To comply with your instructions or the instructions of your financial adviser;
- 1.5. To monitor and/or record telephone calls and electronic transactions with you (including the collection of your biometric data where necessary) in order to accurately carry out your instructions or those of your financial adviser and for your protection.
- 1.6. For payment processing for services providers, merchants, banks and other persons that assist with the processing of your payment instructions;
- 1.7. To provide your information to an entity within the Standard Bank Group, including its subsidiaries and affiliates, for the purpose of improving our business and services or the business and services of the Standard Bank Group;
- 1.8. To provide relevant information to a contracted third party who requires the information to provide a service to you for your investment;
- 1.9. To send your information to the Financial Services Exchange (Pty) Ltd trading as Astute where this is necessary to fulfil our servicing obligations and/or where your financial adviser has instructed us to do so.
- 1.10. To send your information to a third party to perform verification checks on the information provided by you to STANLIB. .
- 1.11. To assist in enhancing our services and your client experience;
- 1.12. For analysis in order to assess and improve our business and services or the business and services of the Standard Bank Group;
- 1.13. To verify your identity;
- 1.14. To detect and prevent fraud or money laundering;
- 1.15. To comply with laws and public duties;
- 1.16. In the interests of security and crime prevention;
- 1.17. For operational, marketing, audit, legal and record keeping purposes;
- 1.18. To transfer your personal information outside the borders of the Republic of South Africa where this is necessary to fulfil our servicing obligations. Where your personal information is transferred offshore, STANLIB confirms that adequate measures are in place to ensure the protection of your personal information and shall transfer your personal information offshore in accordance with the applicable requirements for trans-border information flow in terms of POPIA
- 1.19. To provide your 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;
- 1.20. To provide your information to regulatory authorities, governmental departments, local and international tax authorities and other persons that STANLIB under the law has to share your information with;
- 1.21. To provide your information to persons to whom STANLIB cedes its rights or delegates its obligations to under agreements; and;
- 1.22. If we become involved in a proposed or actual merger, acquisition, or any form of sale of assets, we may use and disclose your 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 information, which would continue to be subject to these terms.

We will take reasonable steps to ensure that your information is kept secure and confidential. We will ensure that a third party that we share your information with agrees to keep your information confidential and appropriately secured. We will keep your information until such time as we are compelled to delete it, as prescribed by applicable law.

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 object. You have the right to access, correct and delete the personal information that is held about you.

To object to the processing of your personal information by STANLIB or correct, delete, or obtain a copy of the personal information STANLIB holds about you, you may email us on: [info@stanlib.com.na](mailto:info@stanlib.com.na) or write to STANLIB Namibia at : PO Box 3327, Windhoek, Namibia or alternatively, you can email us on: [info@stanlib.com.na](mailto:info@stanlib.com.na).

## 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 send an email to [info@stanlib.com.na](mailto:info@stanlib.com.na).
- 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**: STANLIB Namibia, PO Box 3372, Windhoek, Namibia. SPACE Building, 1st Floor, Thorer and Feld Street, Windhoek, Namibia. Telephone: +264(0)61 294 2252.
- 2.5 **Complaints**: Should the Client wish to lodge a complaint with STANLIB regarding the services being provided, the Client can send an email to [complaints@stanlib.com.na](mailto:complaints@stanlib.com.na) or contact office number: +264(0)61 294 2186 and via post: Postal address. PO Box 3327, Windhoek, Namibia.



# 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. By signing this form, the client consents to STANLIB processing their personal information in accordance with the terms and conditions.
5. I/We acknowledge and accept that the information contained in this form and information about the Account Holder may be provided to local tax authority, so that they 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"/> <small>D D M M Y Y Y Y</small>
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"/> <small>D D M M Y Y Y Y</small>
		SIGNED AT	<input type="text"/>



# Annexure A: Beneficial Owner and Related Party Form

## Collective Investments (Unit Trusts)

### Definitions:

**Beneficial owner:** has shares in the legal entity equal to or greater than 20% holding or owns the bank account used by the entity.

**Controlling Person:** exercises control over the entity, such as directors or executives

**Signatory:** binds a person/ entity to the terms of an agreement.

**Power of attorney:** has authorisation to represent or act on behalf of a person/ entity

### DETAILS OF RELATIONSHIP

RELATIONSHIP WITH INVESTOR/ENTITY *	<input type="checkbox"/> BENEFICIAL OWNER	<input type="checkbox"/> CONTROLLER	<input type="checkbox"/> SIGNATORY	<input type="checkbox"/> POWER OF ATTORNEY
NAME OF INVESTOR/ ENTITY *	<input type="text"/>			
INVESTOR ID NUMBER / BUSINESS REGISTRATION NUMBER	<input type="text"/>			

### RELATED PARTY DETAILS - COMPLETE THIS SECTION ONLY IF RELATED PARTY IS A LEGAL ENTITY

ENTITY NAME*	<input type="text"/>
REGISTRATION NUMBER*	<input type="text"/>
DATE OF INCORPORATION*	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> D D M M Y Y Y Y
CONTACT NUMBER*	<input type="text"/>
COUNTRY OF INCORPORATION*	<input type="text"/>

### RELATED PARTY DETAILS - COMPLETE THIS SECTION ONLY IF RELATED PARTY IS AN INDIVIDUAL

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

### ADDRESS DETAILS

PHYSICAL ADDRESS			
BUILDING / PLOT / FARM NUMBER AND NAME	<input type="text"/>		
STREET NUMBER AND STREET NAME	<input type="text"/>		
SUBURB	<input type="text"/>	CITY	<input type="text"/>
POSTAL CODE	<input type="text"/>	COUNTRY OF RESIDENCE / OPERATION	<input type="text"/>

