

# OLD MUTUAL UNIT TRUSTS **ADDITIONAL & MONTHLY INVESTMENT AMENDMENT FORM**

## IMPORTANT INFORMATION

- Please complete all the relevant sections. Investors in Shari'ah-compliant unit trusts must sign section 5 as well.
- The completed form and supporting documentation (see below) can be **scanned and emailed to [uttransactions@oldmutual.com](mailto:uttransactions@oldmutual.com)**, faxed to +27 (0) 21 509 7100. Illegible and incomplete forms may lead to delays. **Contact our Service Centre at 0860 234 234 if you have any queries.**
- The Effective Annual Cost (EAC) is a standard industry measure for your information and to facilitate comparing the cost of an investment over specific periods. (Visit [www.omut.co.za](http://www.omut.co.za) for more information and to access the EAC illustrator for this additional investment.) The EAC of your investment will be confirmed in writing once your investment has been processed.

## PROCESSING TIMES

The same day's price is applied to transaction requests submitted (with all requirements met) by 15h00 (13h00 for all transactions involving money market funds). Transaction requests received after these times will be processed the next available working day, once all requirements have been met, with the same cut-off times applying.

Please complete this form using block letters and tick (✓) where appropriate.

## APPLICATION TO BUY UNITS

I hereby apply for the number of units that can be purchased by the investment amount referred to below. All transactions are subject to the conditions of the relevant Trust Deed(s).

Please provide your existing product account number

Does this application to buy units include a Money Market Unit Trust Fund? No  Yes

## 1. INVESTOR'S DETAILS

### INDIVIDUAL IN WHOSE NAME INVESTMENT IS HELD

Title and surname

Full first names

ID/Passport/Other Number

I confirm that my current Personal Details and Tax Residency Detail are unchanged since my last transaction on this portfolio Yes  No

If NO, I confirm I have completed the Old Mutual Unit Trusts Client Details Update form [\[click here to complete form\]](#) which I will submit with this investment instruction.

I confirm that all existing Adviser Fee instructions as per my original investment instruction remain unchanged Yes  No

If NO, I have revised the fees with my Adviser and stipulated on the IAN form [\[click here to complete form\]](#) in Section D, which I will submit

## 2. ADDITIONAL LUMP SUM INVESTMENT

Old Mutual Unit Trusts is under no obligation to accept below minimum investments and reserves the right not to debit or to cease debiting your account under certain circumstances. If no selection is made, distributions are automatically reinvested. To view the Effective Annual Cost (EAC) of your investment, visit [www.omut.co.za](http://www.omut.co.za).

Please debit my bank account with \*  R  on

\* The transaction reference you will view on your bank statement for this instruction will be OM UNITTRU followed by your unit trust fund account number.

Please [click here](#) to view the full range of Old Mutual Unit Trust funds available to you for investment.

UNIT TRUST NAME	INVESTMENT NAME**	LUMP SUM	MONTHLY	DISTRIBUTIONS (✓ to action)	
				Pay out	Reinvest*
<b>TOTAL</b>		<b>R</b>	<b>R</b>		

\* If no choice is made, we will default to reinvesting distributions.

\*\* Name the investment goal for each unit trust. Each goal will reflect on your statement.

# OLD MUTUAL UNIT TRUSTS **ADDITIONAL & MONTHLY INVESTMENT AMENDMENT FORM** CONTINUED

### 3. CHANGES TO YOUR MONTHLY INVESTMENT PLAN

Unit trust minimums apply. Please allow 10 days' notice to amend debit order instructions. If no changes are indicated below, current debit orders will continue as per current instructions.

New debit order

Please [click here](#) to view the full range of Old Mutual Unit Trust funds available to you for investment. (LINK TO FULL OMUT FUND LIST HERE)

UNIT TRUST NAME	INVESTMENT NAME**	LUMP SUM	MONTHLY	DISTRIBUTIONS ( <input checked="" type="checkbox"/> to action)	
				Pay out	Reinvest*
<b>TOTAL</b>		<b>R</b>	<b>R</b>		

Cancel all existing debit orders to this portfolio

**OR**

Amend existing debit order as per table below

UNIT TRUST NAME (Current monthly investment)	TO (unit trust name)	INVESTMENT NAME**	MONTHLY	DISTRIBUTIONS ( <input checked="" type="checkbox"/> to action)	
				Pay out	Reinvest*
<b>TOTAL</b>			<b>R</b>		

\* If no choice is made, we will default to reinvesting distributions.

\*\* Name the investment goal for each unit trust. Each goal will reflect on your statement.

### 4. INCOME VERIFICATION

We require that you confirm your source of income and source of funds for this transaction in order for us to process your investment.

Source of income: Salary  Bonus  Inheritance  Retirement benefit  Other

Source of funds for this transaction

Industry/Nature of Business

What position do you hold?

### 5. SHARI'AH-COMPLIANT UNIT TRUSTS (Old Mutual Albaraka Equity Fund and Old Mutual Albaraka Balanced Fund)

I acknowledge that I have opted to invest into a Shari'ah-compliant unit trust, which means that it will be managed in accordance with the guidelines of the Shari'ah Supervisory Board and having regard to the Shari'ah Standards of the Accounting and Auditing Organisation for Islamic Financial Institutions (AAOIFI). I agree that any income deemed to be non-permissible by the Shari'ah Supervisory Board will be paid to the charitable trust elected by the Shari'ah Supervisory Board in line with the principles of Shari'ah and the supplemental deed of the unit trust. I acknowledge that this does not form part of my income and will not reflect on my tax certificate. I take note that in some instances, income may be reflected as "interest income" in line with current tax practices on my tax certificate, but accept that such income is fully Shari'ah compliant and has been approved as such by the Shari'ah Supervisory Board.

Date

Signature of investor

### 6. DECLARATION BY ADVISER/BROKER

#### SPECIAL INSTRUCTIONS

**I, the undersigned, hereby declare and warrant that I am duly authorised to render financial services in respect of this product.** All parties concerned have been identified and verified and all relevant documentation has been obtained and appropriate procedures have been applied in accordance with FICA (Act 38 of 2001).

Name of introducer

Branch

Intermediary/Broker code

Tel. no.

Introducer's email address

Signature of introducer

# OLD MUTUAL UNIT TRUSTS **ADDITIONAL & MONTHLY** INVESTMENT AMENDMENT FORM CONTINUED

## 7. STATUTORY INFORMATION

- You should ideally see unit trusts as a medium to long term investment. The fluctuations of particular investment strategies affect how a fund performs. Your fund value may go up or down. Therefore, we cannot guarantee the investment capital or return of your investment. How a fund has performed in the past does not necessarily indicate how it will perform in the future.
- Our cut-off time for client instructions (e.g. buying and selling) is at 15:00 each working day for all funds, except the Money Market Funds, which is at 13:00. These are also the times we value our funds to determine the daily ruling price (other than at month-end when we value the Old Mutual Index Funds and Old Mutual Multi-Managers Fund of Funds ranges at 17:00 close). Daily prices are available on our public website ([www.omut.co.za](http://www.omut.co.za)) and in the media.
- The daily ruling price is based on the current market value of the fund's assets plus income minus expenses (NAV of the portfolio) divided by the number of units in issue.
- The fund fees and costs that we charge for managing your investment is accessible on the relevant fund's minimum disclosure document (MDD) or Table of fees and charges, both available on our public website ([www.omut.co.za](http://www.omut.co.za)), or from our contact centre (0860 234 234).
- Additional information on this proposed investment can be obtained, free of charge, from our public website or our contact centre.
- Funds may borrow to pay client disinvestments and may engage in scrip lending. A process of ring-fencing of withdrawal instructions and managed pay-outs over time may be followed should excessive withdrawals from a fund place the fund under liquidity pressures.
- Old Mutual Unit Trusts has the right to close a portfolio to new investors in order to manage it more efficiently in accordance with its mandate.
- Old Mutual Unit Trust Managers (RF) (Pty) Ltd is a registered manager in terms of the Collective Investment Schemes Control Act 45 of 2002.
- Old Mutual is a member of the Association for Savings & Investment South Africa (ASISA).

## 8. DECLARATION

### Signed by Investor or appointed person acting on behalf of the Investor.

- I agree to accept the number of units sold to me by virtue of this application and I warrant that I have full power and authority to enter into and conclude this transaction, with the necessary assistance where such assistance is a legal requirement.
- I am aware that this product offers no cooling-off rights.
- I know that the cost of buying units may include an initial charge plus VAT, depending on the amount invested and whether or not I use an intermediary, and that there are no guarantees on my capital.
- I acknowledge that there are further allowable deductions from the unit trust/s (e.g. an annual service fee) that impact on the value of my investment. I am satisfied that the facts provided are accurate and complete. I am aware of the unit trust's/unit trusts' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s.
- I acknowledge that Old Mutual Unit Trust Managers (RF) (Pty) Ltd may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- I have read and fully understood all the pages of this application form.
- I hereby authorise Old Mutual Unit Trust Managers (RF) (Pty) Ltd to debit the account mentioned above with the monthly amount/lump sum specified.
- I am aware that I may view the Effective Annual Cost (EAC) of my investment on [www.omut.co.za](http://www.omut.co.za). Once my investment has been processed, Old Mutual Unit Trust Managers (RF) (Pty) Ltd will confirm the EAC to me in writing.
- I have read and am aware of the unit trust's/unit trusts' objectives, risk factors, the charges and income distributions, as set out in the unit trust fund fact sheet/s (Minimum Disclosure Document).
- I warrant that all the information given in this form, and in the additional documentation specifically requested by Old Mutual Unit Trust Managers (RF) (Pty) Ltd, as well as in any documentation which will be or has been supplied and signed by me in connection with this form, is true and correct and as per my instructions, whether in my handwriting or not.
- I undertake to advise Old Mutual Unit Trust Managers (RF) (Pty) Ltd within 30 days should information contained in this form change.
- I understand that Old Mutual Unit Trust Managers (RF) (Pty) Ltd may be legally obliged to disclose information in this form and in any other documentation supplied in connection with this contract to the South African Revenue Services and other legal authorities.

Signed at (place)

on (date) 

	D	D	M	M	C	C	Y	Y
<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"/>

Signature of contracting party

Signature of legal guardian/parent (if applicable) or authorised person of contracting party

# OLD MUTUAL UNIT TRUSTS **ADDITIONAL & MONTHLY** INVESTMENT AMENDMENT FORM CONTINUED

## Supporting documentation required

CLIENT TYPE	FICA IDENTIFICATION REQUIREMENTS
<b>Minors</b>	<ul style="list-style-type: none"> <li>• Copy of valid green bar-coded identity document or identity card of parent(s)/legal guardian</li> <li>• Copy of birth certificate/identity document of minor</li> <li>• Copy of a valid passport for foreign nationals</li> <li>• Proof of Residential address - less than 3 months old, of parent(s)/legal guardian as well as minor (if different)</li> <li>• If a grandparent is the investor, we will require a copy of the Identity document of that grandparent; proof of residential address as well as the documents for the parent(s)/legal guardian of the minor.</li> </ul>
<b>Adults</b>	<ul style="list-style-type: none"> <li>• Copy of the valid green bar-coded identity document or identity card or passport</li> <li>• Proof of residential address, - less than 3 months old or a valid rental agreement or letter from residence owner confirming residence</li> <li>• Old Mutual Third Party Affidavit (only in exceptional instances)</li> </ul>
<b>Persons acting on behalf of another natural person</b>	<p><b>Both the person acting on behalf of the client and the client must be verified</b></p> <ul style="list-style-type: none"> <li>• Copy of valid green bar-coded identity document or identity card or passport for the person acting on behalf of the client - less than 3 months old.</li> <li>• Proof of address for person acting on behalf of the client - less than 3 months old.</li> <li>• Proof of authority to act on behalf of the entity or client, eg: <ul style="list-style-type: none"> <li>o Power of attorney</li> <li>o Mandate</li> <li>o Resolution duly executed by authorised signatories</li> <li>o Letter of executorships/authority from the Master of the High Court</li> <li>o Court order</li> <li>o Trust deed</li> </ul> </li> </ul>

## CONTACT DETAILS

### Old Mutual Unit Trust Managers (RF) (Pty) Ltd

(Registration no. 65/08471/07)

Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa

PO Box 207, Cape Town 8000, South Africa

Telephone no.: +27(0)21 503 1770

Helpline: 0860 234 234

Fax no.: +27(0)21 509 7100

Internet address: [www.omut.co.za](http://www.omut.co.za)

E-mail: [unittrusts@oldmutual.com](mailto:unittrusts@oldmutual.com)

Complaints may be directed to the Client Relationship Manager at the above address. Our complaints process is available via our website [www.omut.co.za](http://www.omut.co.za) or by contacting 0860 234 234.

Compliance Department: +27(0)21 503 1770

### Old Mutual Investment Administrators (Pty) Ltd (Administrator)

(Registration no. 1988/003478/07)

Mutualpark, Jan Smuts Drive, Pinelands 7405, South Africa

PO Box 5408, Cape Town 8000, South Africa

Telephone no.: +27(0)21 503 1770

Fax no.: +27(0)21 509 7100

Compliance Department: +27(0)21 503 1770

Professional indemnity cover and fidelity insurance cover are in place.

Old Mutual Investment Administrators (Pty) Ltd is a third party administration and service provider to Old Mutual Unit Trust Managers Limited and is a licensed financial services provider.

Visit [www.omut.co.za](http://www.omut.co.za) for unit trust information, prices and news. Log in to view your portfolio online.

Clients who select e-mail as their preferred correspondence method benefit from an enhanced communication offering.