

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. 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: contact@stanlib.com or write to STANLIB's Information Officer at: P O Box 202, Melrose Arch, 2076. or alternatively, you can email STANLIB's information officer at privacy@stanlib.com.

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 **Customer Service Queries:** You can contact our Customer Service team to log a query by visiting our website on www.stanlib.com or send all queries to contact@stanlib.com or contact our contact centre on 086 123 003
- 2.5 **Complaints:** Should the you need to lodge a complaint with STANLIB regarding the services being provided, you can log on to www.stanlib.com to submit a complaint or alternatively send complaints to complaints@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. 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 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"/> <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"/>

