

## Change of Financial Adviser / Removal of Financial Adviser Collective Investments (Unit Trusts)

- Complete Section A: To appoint a new financial adviser.
- Complete Section B: If you are removing an existing financial adviser on record.

### CLIENT DETAILS \*

NAME & SURNAME / ENTITY NAME *																				
IDENTITY / PASSPORT/ REGISTRATION NUMBER *																				

\*Compulsory field.

### UT INVESTMENTS \*

ENTITY NUMBER *																				
ENTITY NUMBER *																				
ENTITY NUMBER *																				
ENTITY NUMBER *																				
ENTITY NUMBER *																				

\*Compulsory field

### SECTION A - NEW FINANCIAL ADVISER APPOINTMENT \*

Please appoint the below financial adviser as my broker on record.

NAME OF FINANCIAL CONSULTANCY (FSP) *																				
FSP LICENCE NUMBER *																				
NAME OF REPRESENTATIVE (FINANCIAL ADVISER) *																				
FINANCIAL ADVISER CODE *																				
E-MAIL ADDRESS *																				

### SECTION B - FINANCIAL ADVISER REMOVAL \*

Please remove the below financial adviser on my record(s)

NAME OF FINANCIAL CONSULTANCY (FSP) *																				
FSP LICENCE NUMBER *																				
NAME OF REPRESENTATIVE (FINANCIAL ADVISER) *																				
FINANCIAL ADVISER CODE *																				
E-MAIL ADDRESS *																				



## FINANCIAL SERVICES PROVIDER AUTHORISATION

1. I appoint the Financial Adviser named in this form as my Financial Adviser and authorise STANLIB to amend their records accordingly.
2. I understand that according to the Financial Advisory and Intermediary Services Act, 2002 ("FAIS"), the Financial Adviser must be mandated by a Licenced Financial Services Provider ("FSP") as a representative with the necessary FAIS sub-categories to act on my behalf and that it is also my responsibility to determine whether my Financial Adviser has the necessary authorisation. (Financial Services Board (FSCA toll-free number: 0800 110 443).
3. I understand and confirm that this document merely serves as a notification to STANLIB to record the details of my Financial Adviser. Further that I have entered into a separate mandate with my Financial Adviser that stipulates under what circumstances my Financial Adviser may interact on my behalf with STANLIB.
4. I indemnify STANLIB against all losses or damages, which I may sustain, as a result of transaction entered into on the basis of this delegation of authority by me to the Financial Adviser.
5. Where I have terminated my Financial Adviser's appointment it is my responsibility to advise STANLIB of such termination immediately. On receipt of such written notification, STANLIB will cease payment of all charges, other than accrued charges, to the Financial Adviser. I agree that STANLIB will pay to my Financial Adviser the agreed charges as set out in this Application Form.
6. I acknowledge that if a Financial Adviser is not mandated as required by the FSB, STANLIB is obliged by law to decline any instructions from such Financial Adviser. Also that STANLIB may and will accept instructions on the strength of my signature.
7. I acknowledge that the portfolio range of funds is only available to clients whose Financial Adviser is accredited to sell a specific range. Where a client terminates the services of an accredited Financial Adviser and appoints a Financial Adviser who is not accredited to sell the same range of funds, the Client will immediately be moved from the current class fund/s to an available class fund/s linked to the new Financial Adviser. I acknowledge and accept that in such move, a Capital Gains Tax (CGT) event may occur.

## 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 \*

DATE

D	D	-	M	M	-	Y	Y	Y	Y

CAPACITY

SIGNED AT

SIGNATURE OF FINANCIAL ADVISER

DATE

D	D	-	M	M	-	Y	Y	Y	Y

SIGNED AT

## TERMS AND CONDITIONS

1. **Trustees:** Standard Chartered Bank, 4 Sandown Valley Crescent, Sandton, 2196, Johannesburg. Telephone: (011) 217 6600.
2. **Query Support and Middle Office:** STANLIB Compliance and Complaints, PO Box 202, Melrose Arch, 2076 Telephone: 0860 123 003.
3. **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](http://www.stanlib.com/contactus/pages/furtherqueries.aspx), alternatively the Client can send an email to [rateus@stanlib.com](mailto:rateus@stanlib.com).
4. STANLIB is a member of the Liberty Group of companies. Liberty is a full member of the Association for Savings & Investments South Africa (ASISA).
5. This application form and the relevant trust deed in respect of the STANLIB Collective Investments Scheme will form the agreement between the Client and the Manager. The investment will be administered in terms of the Collective Investment Schemes Control Act, 45 of 2002 (The Act).
6. **Contact details:** STANLIB Collective Investments (RF) Proprietary Limited Reg. No. 1969/003468/07. 17 Melrose Boulevard, Melrose Arch, 2196 | P O Box 202, Melrose Arch, 2076; T + 27 (0)11 448 6000 | F 086 727 7505/+ 27 (0)11 448 6666; E [contact@stanlib.com](mailto:contact@stanlib.com) | W [www.stanlib.com](http://www.stanlib.com).
7. **FAIS Ombudsman details:** Block B, Sussex Office Park, 473 Lynwood Road, Pretoria, 0081. Telephone 012 470 9080.
8. **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 Adviser and/or 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/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.
9. **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:
  - 9.1. Administering your investment account and processing any instructions on the account.
  - 9.2. Communicating with you and your Financial Adviser/ broker.
  - 9.3. 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.
  - 9.4. 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.
  - 9.5. 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.
  - 9.6. 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.
  - 9.7. 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.
  - 9.8. Payment processing for services providers, merchants, banks and other persons that assist with the processing of your payment instructions.
  - 9.9. Assisting law enforcement and fraud prevention agencies and other persons tasked with the prevention and prosecution of crime.
  - 9.9. Persons to whom STANLIB cede their rights or delegate their obligations to under agreements.



- 9.11. Conducting research or servicing products. Where appropriate, this information will be de-identified such that it cannot be linked back to you personally.
- 9.9. 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.
- 9.13. We will take reasonable steps to ensure that all Personal Information you provided to us is kept secure and confidential.
- 9.14. We will keep your Personal Information until such time as we are compelled to delete it, as prescribed by applicable law.
- 9.15. 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.
- 9.16. 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.
- 9.17. You have the right to request that we update, correct, or delete your Personal Information.

