

# Switch/Transfer Form

## Collective Investments (Unit Trusts)

### CLIENT DETAILS TO SWITCH / TRANSFER FROM

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

### IF YOUR CELL NUMBER AND EMAIL ADDRESS HAVE CHANGED, PLEASE UPDATE BELOW

CELL NO													
EMAIL													

#### \*Compulsory section

### SWITCH/TRANSFER OPTION

PLEASE SELECT THE APPLICABLE OPTION:

SWITCH

TRANSFER

CONSOLIDATE DIFFERENT ACCOUNTS IN THE  
SAME PORTFOLIOTRANSFER/ SWITCH BETWEEN INVESTORS IN  
DIFFERENT PORTFOLIOS

### SWITCH/TRANSFER FROM:

Fund Name	Account number	Percentage	Amount
		%	R
		%	R
		%	R
		%	R
		%	R
		%	R
		%	R
<b>TOTAL</b>		%	R

### SWITCH/TRANSFER TO:

Fund Name	Financial Adviser Charge (excl. VAT)	Account number	Percentage	Amount
	%		%	R
	%		%	R
	%		%	R
	%		%	R
	%		%	R
	%		%	R
<b>TOTAL</b>			<b>100%</b>	R

If the initial Financial Adviser charge is not specified, zero fees will be applied. If the initial Financial Adviser charge specified is higher than the maximum fee, the maximum will be applied.



SIGNATURE OF CLIENT/  
AUTHORISED SIGNATORY\*

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

SIGNED AT

SIGNATURE OF FINANCIAL ADVISER

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

SIGNED AT

### TRANSFeree DETAILS

Please supply the following details of the person or institution to whom the participatory interests/ units will be transferred to. All transfers require relevant FICA documentation.

NAME

SELECTED PORTFOLIO NAME

EXISTING CLIENT

 YES  NO (COMPLETE A NEW APPLICATION FORM)

INVESTMENT ACCOUNT NUMBER

The transfer of participatory interests is automatically classified as a Capital Gains Tax event. If you are transferring ownership to your spouse, you may choose to have the event rolled over to the transferee. Please note your spouse must be a resident in terms of South African Tax law.

ROLL OVER CGT EVENT FOR THIS TRANSFER

 YES  NO

### CHANGE OF RECURRING DEBIT ORDER DETAILS

The product minimum recurring debit order amounts must be met, refer to our website [www.stanlib.com](http://www.stanlib.com) for more information.

LOAD A NEW DEBIT ORDER

 YES  NO

CHANGE AN EXISTING DEBIT ORDER

 YES  NO

DEBIT ORDER PREFERRED DATE

 1<sup>ST</sup> (DEFAULT DATE)  15<sup>TH</sup>  25<sup>TH</sup>

COMMENCEMENT DATE

<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
M	M		Y	Y	Y	Y	

\*If no date is selected, we will default to the 1<sup>ST</sup> of the following month.

Fund name	New debit order amount	Change debit order portfolio to (specify new portfolio name)	Cancel
	R		
	R		
	R		
	R		
	R		



REGULAR INCOME OPTION - CASH FLOW PLAN (CFP)

The regular income option allows you to invest money in a specific portfolio and then repurchase from that portfolio on a regular basis. **Note:** the commencement date of the regular income option refers to the date the Manager will process the transaction. Payment can take up to 2 business days, depending on your bank. **To stop the CFP a static data update (Change of Details form) will be required.**

Please note that CFP will only take effect once funds are cleared.

Fund Name	Amount	Cancel
	R	<input type="checkbox"/>
	R	<input type="checkbox"/>
	R	<input type="checkbox"/>
<b>TOTAL</b>	R	<input type="text"/>

PAYMENT FREQUENCY     MONTHLY     QUARTERLY     BI-ANNUALLY     ANNUALLY

PREFERRED DATE        COMMENCEMENT DATE (25TH DEFAULT DATE)     -

M    M                      Y    Y    Y    Y

- \*If CFP is selected and a date frequency is not indicated, we will default to monthly frequency.
- \*Payment can take upto 48 hours to reflect from date requested and this will vary from bank to bank.
- \*If Payment is requested on a weekend or public holiday, it will only be processed on the preceding working day.
- \*If Fund is not selected under the CFP option will process proportionately across funds.

INCOME DISTRIBUTION

All distributions will be reinvested as per the investment selection unless otherwise instructed.

Fund Name	Income Distribution Method			
	Pay into Bank Account	Reinvest into Existing Fund	Reinvest into Another Fund	Fund Name to Reinvest into
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

BANKING DETAILS FOR A ONCE-OFF DEBIT COLLECTION/ RECURRING DEBIT ORDER / LINK TO E-TRADE

**E-trade** refers to the electronic portal designed to provide Investors with a service to actively manage their portfolios and instruct trades at their discretion. Transactions are executable with a computer or smartphone device and are made quickly with no paperwork required. Typically the user will login to the STANLIB Online website and process transactions on their portfolios. **These transactions can be additional investments, switches, redemptions and regular cash flow plans (CFPs).** This service is appealing to investors as it allows more control and easier transactability over their portfolios. "You may want to link to E-trade so that you can always get a trade in quickly when you need to."

Should you require to be linked to e-trade functionality, please tick the box below.

AUTO LINK ME TO E-TRADE

BANK

BRANCH  BRANCH CODE

ACCOUNT NUMBER

ACCOUNT TYPE     CHEQUE                       SAVINGS                       TRANSMISSION

ACCOUNT HOLDER'S ID NUMBER

ACCOUNT HOLDER'S NAME



SIGNATURE OF BANK ACCOUNT  
HOLDER/ AUTHORISED SIGNATORY

If the debit order is funded by a 3rd party (spouse included):

\*For individuals: Certified copy of the third party's identity document with a specimen signature.

\*For entities: Standard Bank – Bank account mandate \*Other banks – Bank Letter confirming signing authority and a certified copy of identity document with a specimen signature.

\* **Market links, Credit cards, Call accounts and Notice deposit accounts are not permitted for debit collections.**

## FINANCIAL SERVICES PROVIDER

- 1. The investor acknowledges that any fee stipulated on this instruction will be paid to the broker on record.**
- 2. If a different adviser needs to be paid the fee for this instruction, a new fully completed change of financial adviser instruction is to be submitted first.**
- The Investor confirms that he/she has appointed a Financial Services Provider (FSP) whose registered with the Financial Sector Conduct Authority (FSCA) for purposes of his/her dealings with the Manager.
- The Investor agrees that the Manager will pay the FSP the charges as set out in this application form. Where the FSP is a legal entity (e.g a company or a close corporation) the FSP is represented herein by the natural person identified in the relevant block below. Where the FSP has a Category II FAIS licence and the Investor has mandated the FSP (or its Representative) to act on his/her behalf in terms of a written agreement a copy of the written agreement must be provided to the Manager. The Manager will not act on instructions from the FSP if it has not received a copy of this agreement. The Manager is obliged by law to decline any instructions from an FSP who is not properly licensed with the Financial Sector Conduct Authority (FSCA).
- Where the Investor has terminated his FSP's appointment, it is the Investor's responsibility to advise the Manager of such termination immediately. On receipt of such written notification, the Manager will cease payment of all charges, other than accrued charges to the FSP.
- The Investor understands that where he/she changes FSP the consequences of such change may result in different or new fund and fees structures.

## TERMS AND CONDITIONS

- 1. Switching**
  - All portfolios are valued daily at 15h00 except for fund of funds which are valued at 24h00.
  - For non-money market funds, switches will receive the price of the same day if a complete instruction is received prior to 15h00. For money market funds, switches will receive the price of the following working day if a complete instruction is received prior to 12h00.
  - An existing debit order will remain in force unless otherwise specified.
  - Certificates issued in respect of participatory interests switched must be returned for cancellation.
  - If the participatory interests to be switched are subject to a pledge, written consent to the transaction/cancellation of the pledge by the pledgee must accompany this request.
  - In the case of a change of name/signature(s), a certified copy of the relative document with specimen signatures (new and previous) must accompany this request, unless previously recorded.
  - If this form is signed under Power of Attorney, a copy of such Power must be attached unless previously recorded.
  - In all cases where the registered owner is a trust, company or other institution, a copy of the Letter of Authority, Company Resolution or similar is required to support the request.
  - Clients warrant that they understand the results of switches which, in line with provisions of the Deed of the scheme and the terms and conditions of the portfolio, equate to the renunciation of all rights, title and interest in and to such participatory interests. Where this switch form is signed in a representative capacity, the signatory warrants that they are the authorised representative of the Client and that they have authority to instruct STANLIB to carry out a switch transaction for the Client.
  - A "switch" involves selling participatory interests (units) in one portfolio and investing the proceeds in another portfolio. The Manager does not normally charge initial manager charges twice, other than in the instance where the original entry was into a portfolio with lower charges than the portfolio into which the Client will be investing. Accordingly, the Client will have to pay in the difference in the initial manager charges. However, the Client and the Financial Adviser may agree on a different arrangement to that above-mentioned, in which case an initial manager charge as agreed, between the Client and the Financial Adviser, will be charged on the switch transaction. As costs may change from time to time, please consult with your authorised Financial Adviser.
- 2. General**
  - 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.
  - Any capital gain realised on the disposal of a participatory interest in a collective investment scheme is subject to Capital Gains Tax (CGT).
  - 2.3 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:
    - Administering your investment account and processing any instructions on the account.
    - Communicating with you and your Financial Adviser/ broker.
    - 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.
    - 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.
    - 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.
    - 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.
    - 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.
    - Payment processing for services providers, merchants, banks and other persons that assist with the processing of your payment instructions.
    - Assisting law enforcement and fraud prevention agencies and other persons tasked with the prevention and prosecution of crime.
    - Persons to whom STANLIB cede their rights or delegate their obligations to under agreements.
    - Conducting research or servicing products. Where appropriate, this information will be de-identified such that it cannot be linked back to you personally.
    - 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.
    - We will take reasonable steps to ensure that all Personal Information you provided to us is kept secure and confidential.
    - We will keep your Personal Information until such time as we are compelled to delete it, as prescribed by applicable law.
    - 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.
    - 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.
    - You have the right to request that we update, correct, or delete your Personal Information.
  - The Manager is obliged to report on the weighted average cost method for CGT purposes.
  - FAIS Ombudsman details: Block B, Sussex Office Park, 473 Lynwood Road, Pretoria, 0081. Telephone 012 470 9080
  - Standard Trust Limited ("STL") and STANLIB Collective Investments (RF) Proprietary Limited ("the Manager") have concluded a co-named agreement for nine Standard STANLIB co-named collective investment scheme portfolios ("the portfolios") referred to in this form. The Manager retains full legal responsibility for the portfolios and is responsible for ensuring they comply with CISC requirements. STL, an authorised financial services provider, is responsible for ensuring that customer monies are invested according to the guidelines provided. STL further delegated the investment management responsibilities to STANLIB Multi-Manager Limited, also a discretionary investment manager and authorised financial services provider.
  - 2.7 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/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/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.

2.8 **Query Support and Middle Office:** STANLIB Compliance and Complaints, PO Box 202, Melrose Arch, 2076 Telephone: 0860 123 003.

2.9 **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)

## 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"/> - <input type="text"/> <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"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		SIGNED AT	<input type="text"/>
			<small>D D M M Y Y Y Y</small>

