

## Switch Form

## Collective Investments (Unit Trusts)

## CLIENT DETAILS TO SWITCH / TRANSFER FROM

NAME &amp; SURNAME / ENTITY NAME

ENTITY NUMBER

IDENTITY / PASSPORT /  
REGISTRATION NUMBER

## SWITCH/TRANSFER OPTION

PLEASE SELECT THE APPLICABLE OPTION:

☐

SWITCH

☐

TRANSFER

☐
CONSOLIDATE DIFFERENT ACCOUNTS IN THE  
SAME PORTFOLIO
☐
TRANSFER/ SWITCH BETWEEN INVESTORS IN  
DIFFERENT PORTFOLIOS

## SWITCH/TRANSFER FROM:

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

## SWITCHING INTO AN EXISTING FUND

Fund Name	Initial Advice Fee excl. VAT (Max 3%)	Account number	Percentage	Amount
	%		%	R
	%		%	R
	%		%	R
<b>Total</b>				R

## SWITCHING INTO A NEW FUND

Fund Name	Initial Advice Fee excl. VAT (Max 3%)	Ongoing Advice Fee excl. VAT (Max 1% P.A)	Percentage	Amount
	%	%	%	R
	%	%	%	R
	%	%	%	R
<b>Total</b>				R



## ONGOING FINANCIAL ADVISER FEES

## Fee deductions

You can choose to have your Ongoing Financial Adviser Fees (where applicable) deducted from any of your fund selection. If you would like to make use of this option, please specify the fund below.

Fund selected for Ongoing Adviser Fee deduction

## 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	<input type="text"/>
SELECTED PORTFOLIO NAME	<input type="text"/>
EXISTING CLIENT	<input type="checkbox"/> YES <input type="checkbox"/> NO (COMPLETE A NEW APPLICATION FORM)
INVESTMENT ACCOUNT NUMBER	<input type="text"/>

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	<input type="checkbox"/> YES <input type="checkbox"/> NO
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## 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	<input type="checkbox"/> YES <input type="checkbox"/> NO
CHANGE AN EXISTING DEBIT ORDER	<input type="checkbox"/> YES <input type="checkbox"/> NO
DEBIT ORDER PREFERRED DATE	<input type="checkbox"/> 1 <sup>ST</sup> (DEFAULT DATE) <input type="checkbox"/> 15 <sup>TH</sup> <input type="checkbox"/> 25 <sup>TH</sup>
COMMENCEMENT DATE	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <small>M M Y Y Y Y</small>

\*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"/>
<b>TOTAL</b>	R <input type="text"/>	



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

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
	<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	<input type="text"/>
BRANCH	<input type="text"/> BRANCH CODE <input type="text"/>
ACCOUNT NUMBER	<input type="text"/>
ACCOUNT TYPE	<input type="checkbox"/> CHEQUE <input type="checkbox"/> SAVINGS <input type="checkbox"/> TRANSMISSION
ACCOUNT HOLDER'S ID NUMBER	<input type="text"/>
ACCOUNT HOLDER'S NAME	<input type="text"/>
SIGNATURE OF BANK ACCOUNT HOLDER/ AUTHORISED SIGNATORY	<input type="text"/>

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 Financial Services Provider (FSP) 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.
3. 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.
4. 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 it's 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).
5. 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.
6. 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

- 1.1 All portfolios are valued daily at 15h00 except for fund of funds which are valued at 24h00.
- 1.2 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.
- 1.3 An existing debit order will remain in force unless otherwise specified.
- 1.4 Certificates issued in respect of participatory interests switched must be returned for cancellation.
- 1.5 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.
- 1.6 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.
- 1.7 If this form is signed under Power of Attorney, a copy of such Power must be attached unless previously recorded.
- 1.8 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.
- 1.9 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.
- 1.10 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. **STANLIB monitors account patterns of transactions for practices such as but not limited to market timing where an investor purchases and sells units within a short time period to take advantage of limitations in determining the net asset value of the funds. STANLIB reserves the right to delay or reject such transactions where investors engage in such practices in order to protect and ensure equitable treatment of all investors in the fund.**

**2. Overnight Interest Allocation:** Interest earned by STANLIB in its bank account (subscription) on deposits made by you will be added to the investment amount if it takes longer than 1 Business Day, after the receipt of the deposit and/or the fulfilment of any outstanding requirements, to process the transaction. Deposits made on a non-business day (i.e. public holidays, Saturdays and Sundays) will also not attract any interest.

### 3. General

- 3.1 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.
- 3.2 Any capital gain realised on the disposal of a participatory interest in a collective investment scheme is subject to Capital Gains Tax (CGT).
- 3.3 **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:

- 3.3.1. To provide you with products and services;
- 3.3.2. To manage and administer your investments;
- 3.3.3. To communicate with you and/or your financial adviser;
- 3.3.4. To comply with your instructions or the instructions of your financial adviser;
- 3.3.5. 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.
- 3.3.6. For payment processing for services providers, merchants, banks and other persons that assist with the processing of your payment instructions;
- 3.3.7. 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;
- 3.3.8. To provide relevant information to a contracted third party who requires the information to provide a service to you for your investment;
- 3.3.9. 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.
- 3.3.10. To send your information to a third party to perform verification checks on the information provided by you to STANLIB. .
- 3.3.11. To assist in enhancing our services and your client experience;
- 3.3.12. For analysis in order to assess and improve our business and services or the business and services of the Standard Bank Group;
- 3.3.13. To verify your identity;
- 3.3.14. To detect and prevent fraud or money laundering;
- 3.3.15. To comply with laws and public duties;
- 3.3.16. In the interests of security and crime prevention;
- 3.3.17. For operational, marketing, audit, legal and record keeping purposes;
- 3.3.18. 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
- 3.3.19. 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;
- 3.3.20. 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;
- 3.3.21. To provide your information to persons to whom STANLIB cedes its rights or delegates its obligations to under agreements; and;
- 3.3.22. 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](mailto: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](mailto:privacy@stanlib.com).

3.4 The Manager is obliged to report on the weighted average cost method for CGT purposes.

3.5 **Electronic Signatures:** This transaction may be executed by means of a Client's electronic signature. The Client agrees that in accepting these terms and conditions, the Client consents to executing this transaction by means of an electronic signature. The Manager is indemnified against any losses, claims or damages arising from acting on such an electronic signature, notwithstanding that it may later be proved that the electronic signature was not given by the Client.

3.6 FAIS Ombudsman details: Block B, Sussex Office Park, 473 Lynwood Road, Pretoria, 0081. Telephone 012 470 9080

3.7 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 CISCA 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.

3.8 **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 Manager and/or Financial Adviser 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. STANLIB will not be held responsible for any failure, malfunction or delay of any networks, electronic or mechanical device or any other form of communication used in the submission, acceptance and processing of applications and/or transactions. STANLIB will not be liable to make good or compensate any investor or third party for any damages, losses, claims or expenses resulting there from.

3.9 **Customer Service Queries:** You can contact our Customer Service team to log a query by visiting our website on [www.stanlib.com](http://www.stanlib.com) or send all queries to [contact@stanlib.com](mailto:contact@stanlib.com) or contact our contact centre on 086 123 003

3.10 **Ongoing Advice Fee Adjustment:** All requests to change ongoing advice fees requested during the month will be effected on the first day of the following month.

3.11 **Complaints:** Should the you need to lodge a complaint with STANLIB regarding the services being provided, you can log on to [www.stanlib.com](http://www.stanlib.com) to submit a complaint or alternatively send complaints to [complaints@stanlib.com](mailto: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 \*

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

CAPACITY

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

