APEX | FUNDROCK

FICA RISK RATING QUESTIONNAIRE: INDIVIDUALS

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the Fundrock Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

IMPORTANT INFORMATION

1. This form is to be used by existing investors only.
2. Please read the **Terms and Conditions** that apply to this investment. This is available from your financial adviser, the Client Service Centre or at **www.fundrock.co.za.**
3. Please email required documents for processing to **cis-instructions@fundrock.com**.

INVESTOR DETAILS

FR Investor Number / Investor Entity Number

Title

Surname / Entity Name (e.g. company or trust)

Name of Investor / Authorised contact person

ID or Passport number / Registration number

Telephone (H) (W)

Email Mobile

FICA ANNEXURE

IMPORTANT INFORMATION

As an accountable institution, FR must comply with legislation. The new Financial Intelligence Centre Amendment Act of 2017 (FICA) introduced a risk-based approach to customer due diligence. This means that we must obtain and hold certain information and do a risk-rating on investors.

Without the required information and risk-rating we are not allowed to transact with you, which may mean that you will not be allowed to redeem your investment or add additional investments.

Please complete section A. You do not have to submit the FICA Risk rating information again if you have previously submitted it to FR.

SECTION A - INDIVIDUAL INVESTOR

Are you a resident of South Africa? ☐ Yes ☐ No

If no, where are you resident?

Is your bank account domiciled in South Africa? ☐ Yes ☐ No

If no, where is your bank domiciled?

OCCUPATION

Employment Status:

Formally Employed ☐ Self-Employed ☐ Unemployed ☐

Retired/Pensioner ☐ Minor ☐

Other (Please Specify)

Industry Type:

Aerospace & Defense ☐ Agriculture, Forestry & Fishing ☐ Banks/Financial Services ☐

Casinos ☐ Communication & Technology ☐ Construction & Engineering ☐

Digital Assets/Crypto Fund ☐ Diversified Metals & Mining ☐ Education ☐

Entertainment & Recreation ☐ Healthcare Services ☐ Internet Gambling/Online Betting Entity ☐

Manufacturing ☐ Precious Metals & Minerals ☐ Real Estate Services ☐

Retail ☐ State Owned Entity/Government ☐ Transportation, Storage & Logistics ☐

Utilities ☐

Other (Please Specify)

Source of wealth or income (FR reserves the right to request additional supporting documents)

(Definition: The financial activities that have generated the investor's net-worth)

Salary ☐ Pension ☐ Annuity ☐ Other

Prominent Influential Person or Politically Exposed Person

Are you a Prominent Influential Person (PIP), Foreign Politically Exposed Person ("FPEP"), Domestic Politically Exposed Person ("DPEP") or a family member or known close associate of a FPEP or DPEP? Yes ☐ No ☐

(Refer to definition of PIP, FPEP and DPEP below)

If yes, please specify

INVESTOR DECLARATION

1. I confirm that all information provided in this form is true and correct.
2. I have read, understood and agree to the latest **Terms and Conditions** on the FR website **www.fundrock.co.za.**
3. Where signed in the capacity as legal guardian of a minor, I explicitly consent to the use of the minor's personal details contained herein.
4. FR will accept electronic signatures accompanied by a certificate or audit trail.
5. I hereby indemnify and hold FR, its affiliates, directors, officers, employees, and agents harmless from and against any and all claims, losses, liabilities, damages, costs, and expenses (including reasonable legal fees) arising from or in connection with the use of electronic signatures, including any fraud, misrepresentation, or unauthorised use by any person.

PRIVACY STATEMENT

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and the FR Privacy Policy. It is important to us that you understand how we obtain, process, store, and share your information. We may disclose your information to other entities in the Apex Group and/or its subsidiaries, agents, partners, or sub-contractors, for purposes as described in this application or related privacy policies. By submitting any personal information to FR you provide us with your consent to, alternatively acknowledge, the processing and sharing of your personal information and/or that personal information which you have provided that relates to other data subjects, as set out in the Privacy Policy. Please do not submit any personal information to FR if you do not agree/ object to any of the provisions of the Privacy Policy. Should you object to the Privacy Policy, or parts thereof, FR may not be able to provide its products and/or services to you. To access the FR Privacy Policy please click on the **link** or on the FR website **www.fundrock.co.za.**

Signature of investor(s) or legal guardian _____ Date D D / M M / Y Y Y Y

Name of signatory _____

POPIA

By signing this application, I consent, alternatively acknowledge, that I have read and understood the Privacy Policy and I consent, alternatively acknowledge, to the collection, processing, storage, and internal sharing of my personal information by FR and members of the Apex Group, in accordance with the Protection of Personal Information Act, 4 of 2013 (POPIA).

CONTACT DETAILS

Physical Address

Fundrock Collective Investments
Catnia Building
Bella Rosa Village
Bella Rosa Street
Bellville
7530

Custodian / Trustee

The Standard Bank of South Africa Limited
Tel: +27 21 441 4100

Contact us

Tel: +27 21 007 1500/1/2 or +27 21 879 9937/9
Email: sa-clientsupport@fundrock.com | sa-compliance@fundrock.com
Visit our website: **www.fundrock.co.za**

Should you have any complaints, please send an email to sa-complaints@fundrock.com

ASISA AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA

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ANNEXURE A: FICA REQUIREMENTS

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the Fundrock Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

FINANCIAL INTELLIGENCE CENTRE ACT NO 38 OF 2001 (FICA)

The Financial Intelligence Centre Act no 38 of 2001 (FICA), which came into effect on 30 June 2003, obligates FR to request certain mandatory information before entering into a financial transaction with the Client. Details of the information and documentation required from Clients are set out below. FR reserves the right to request additional supporting documents.

1. NATURAL PERSONS

1.1. SA Citizen/Resident

1.1.1. Copy of your ID Card back and front (South African citizens)

* South African citizens: a passport /driver's license containing the above information will only be accepted with a written reason for the unavailability of the ID document/Card

1.2. Foreign Nationals

1.2.1. Copy of valid passport if Foreign National

1.2.2. Proof of address (not older than 3 months)

1.3. Legal Incapacity

1.3.1. Document(s) set out above iro both parties (1.1.1 or 1.2.1)

1.3.2. Proof of authority to act (e.g. power of attorney, mandate, resolution, court order)

1.4. Deceased Estate

1.4.1. Death Certificate

1.4.2. Letter of Executorship/Letter of Authority

1.4.3. Copy of identity documents for persons acting on behalf of the estate

1.4.4. Utility bill (not older than 3 months) of each person acting on behalf of the estate

1.4.5. Proof of estate late bank account

1.4.6. Copy of the Will

1.4.7. J192 form

1.4.8. The DHA1663 form

1.5. Third Party Representing another Individual/Power Attorney

1.5.1. Copy of identity document of the third party/representative individual and the client

1.5.2. Proof of authority to act e.g. power of attorney, mandate, resolution or court order

1.6. Minors

1.6.1. Copy of the Birth Certificate (abridged or unabridged) / Identity document

1.6.2. Copy of the identity document for the Guardian/Parent/s

1.6.3. In the case of a guardian, provide documents confirming legal guardianship

1.6.4. Proof of Bank Details of the minor

DEFINITIONS

DOMESTIC POLITICALLY EXPOSED PERSON (DPEP)

Domestic Politically Exposed Person (DPEP)	***An individual who holds, including in an acting position for a period exceeding six months, or has held a prominent public function in South Africa, including that of:*** *a. the President or Deputy President;* *b. a government minister or deputy minister;* *c. the Premier of a province;* *d. a member of the Executive Council of a province;* *e. an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998;* *f. a leader of a political party registered in terms of the Electoral Commission Act, 1996;* *g. a member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003;* *h. the head, accounting officer or chief financial officer of a national or provincial department or government component, as defined in section 1 of the Public Service Act, 1994;* *i. the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 or a chief financial officer designated in terms of section 80 (2) of the Municipal Finance Management Act, 2003;* *j. the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999;* *k. the chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000;* *l. a constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001;* *m. an ambassador or high commissioner or other senior representative of a foreign government based in the Republic; or* *n. an officer of the South African National Defence Force above the rank of major-general;* ***or holds, including in an acting position for a period exceeding six months, or has held the position of head, or other executive directly accountable to that head, of an international organisation.***

FOREIGN POLITICALLY EXPOSED PERSON (FPEP)

Foreign Politically Exposed Person (FPEP)	***An individual who holds, or has held, in any foreign country a prominent public function including that of a:*** *a. Head of State or head of a country or government;* *b. member of a foreign royal family;* *c. government minister or equivalent senior politician or leader of a party;* *d. senior judicial official;* *e. senior executive of a state-owned corporation; or* *f. high-ranking member of the military.*

PROMINENT INFLUENTIAL PERSON (PIP)

Prominent Influential Person (PIP)	***An individual who holds or has held at any time in the preceding 12 months, the position of:*** *a. chairperson of the board of directors;* *b. chairperson of the audit committee;* *c. executive officer; or* *d. chief financial officer,* ***of a company that is defined in the Companies Act No. 71 of 2008 if the company provides goods or services to an organ of state.***

FAMILY MEMBER AND KNOWN CLOSE ASSOCIATE OF A DPEP AND FPEP

Family member and known close associate of a DPEP and FPEP	***Family members and known close associates include:*** *a. the spouse, civil partner, or life partner;* *b. the previous spouse, civil partner, or life partner, if applicable;* *c. children and stepchildren and their spouse, civil partner, or life partner;* *d. parents;* *e. sibling and step sibling and their spouse, civil partner, or life partner; and* *f. individuals who are closely connected to a prominent person, either socially or professionally and who can conduct transactions on behalf of the DPEP/FPEP.*