STEP BY STEP MANUAL - INVESTOR

Your guide to easy investing with Fundrock Collective Investments

Fundrock Collective Investments (RF) (Pty) Ltd is part of the Apex Group Ltd
www.fundrock.co.za
www.apexgroup.com

CONTENTS

Fundrock Collective Investments RF (Pty) Ltd offers investors a range of unit trust funds to cater for their diverse investment needs and investment plans.

We have prepared the attached document to assist you when you invest with us. Amongst others it outlines the steps to follow when placing a new investment with us, or if at a later date you need to buy into new portfolios, switch, transfer or repurchase portfolios.

The document also provides useful information on how to access our web-based investment portal which will allow you to transact online, and access statements and certificates.

If at any stage in the process you require assistance, please call us on 021 0071500/1/2 or 021 879 9937/9 email us at sa-clientsupport@fundrock.com

Fundrock Collective Investments RF (Pty) Ltd is committed to building a long-lasting relationship with you and helping support you in managing your investments.

We trust that you will find this guide useful and welcome any suggestions you may have.

Yours sincerely

Gregory Abrahams
Managing Director

Opening a new investment

Step 1	Step 2	Step 3
• Complete an application form. • Attach your ID document.	• Email your signed application form and ID document to cis-instructions@fundrock.com	• Once the application form has been processed, FR will notify you of our bank account number for your lump sum deposit.

Financial Intelligence Centre Act (FICA)

FICA is a process followed by all accountable institutions to appropriately identify and verify investors and the source of their funds to combat money laundering, reduce fraud and prevent the possible use of money for acts of terrorism. FICA is required to protect the interest of investors, and investment providers, globally.

"To establish a Financial Intelligence Centre and a Money Laundering Advisory Council in order to combat money laundering activities and the financing of terrorist and related activities; to impose certain duties on institutions and other persons who might be used for money laundering purposes and the financing of terrorist and related activities; to amend the Prevention of Organized Crime Act, 1998, and the Promotion of Access to Information Act, 2000; and to provide for matters connected therewith".

From time to time, we may request that you send updated documentation to validate the records we keep on our administration system, and to safeguard your investment.

IMPORTANT NOTE: When opening a new account, Fundrock Collective Investments requires the documentation; as per the FICA REQUIREMENTS ANNEXURE attached to this document.

Adding to an investment

Step 1	Step 2
• Complete an additional investment form. *Please note, it is vital that this is completed and sent with proof of payment.	Email the signed form to cis-instructions@fundrock.com

Alternatively, you can transact online if you have transactability. (Refer to page 12)

Please be aware that:

- **No investment will be captured without the additional investment form and proof of payment.**
- **All once off debit order takes 60 days to clear**

Important: All forms are available on our website www.fundrock.co.za. Instructions received by the daily cut-off time of 14h00 will be completed using the NAV price at the close of business on the same day. Instructions received after 14h00 will be completed using the NAV price for the next business day. Cut off for money market is 11:30am. We do require the FICA annexure to be completed to adhere to FICA - this is part of the additional investment form - ensure the entire form is completed.

Switching portfolios

Step 1	Step 2
• Complete a switch form.	Email the signed form to cis-instructions@fundrock.com

Alternatively, you can transact online if you have transactability. (Refer to page 13)

Important: All forms are available on our website www.fundrock.co.za. Instructions received by the daily cut-off time of 14h00 (11:30 for money market funds) will be completed using the NAV price at the close of business on the same day. Instructions received after 14h00 will be completed using the NAV price for the next business day.

Transfer of units

Step 1

- Complete a transfer form.

Step 2

Email the signed form to cis-instructions@fundrock.com.

Note: The transfer process cannot be initiated until the original application and supporting documents have been received.

Important: All forms are available on our website www.fundrock.co.za. Instructions received by the daily cut-off time of 14h00 (11:30 for money market funds) will be completed using the NAV price at the close of business on the same day. Instructions received after 14h00 will be completed using the NAV price for the next business day.

Repurchases

Step 1

- Complete a repurchase form.

Step 2

Email the signed form to cis-instructions@fundrock.com

Alternatively, you can transact online if you have transactability. (Refer to page 13)

Important: All forms are available on our website www.fundrock.co.za. Instructions received by the daily cut-off time of 14h00 will be completed using the NAV price at the close of business on the same day. Instructions received after 14h00 will be completed using the NAV price for the next business day. Cut off for money market is 11:30am.

Provided you have met the requirements stipulated by FICA, we adhere to a 48-hour turnaround for repurchases. If the payment of a regular repurchase falls over a weekend or public holiday, the payment will be made on the next working day after this date. We do require the FICA annexure to be completed in order to adhere to FICA - this is part of the repurchase form - ensure the entire form is completed.

Investment minimums

The monthly minimum administration fee per investment account for investors who do not transact online:

- More than R100 000 – no minimum administration fee
- R10 000 to R100 000 – R15 per month (excluding VAT)
- Less than R10 000 – R25 per month (excluding VAT)

FR reserves the right to change these administration processes, charges and thresholds subject to at least 3 months' notice to investors.

Debit orders

You can set up a debit order from your account to pay a recurring amount into a fund(s) of your choice. You can choose to increase your investment each year by a percentage by providing authorisation on the application form. Debit orders can only be deducted on the first and fifteenth of every month. If the date of a debit order falls over a weekend or public holiday, your account will be debited on the first working day thereafter.

Please be aware that debit orders take 60 days to clear on our system.

If selecting a once-off debit order, FR will debit your account within five business days of receiving the application form and all relevant documents. Once off debit collection is restricted to a maximum of R2 000 000 per day. If your investment amount exceeds R2 000 000, you will need to transfer the amounts directly to our FR operations account as well as complete the additional contribution form.

Fees

All portfolio fees are disclosed in the relevant portfolio MMDs that are published on our website www.fundrock.co.za.

Welcome packs

Once Fundrock Collective Investments has processed an instruction, a letter will be sent to you providing confirmation of the instruction and a balance for all portfolios. An example of this confirmation letter is displayed below.

xxxxx
xxxxx
xxxxx
xxxxx
xxxxx
xxxx

30 July 2026

Investor Number: 00000000

Dear Sir/Madam

Welcome

Thank you for investing with Fundrock Collective Investments (RF) (Pty) Ltd ("FR") and our Investment Manager(s). Please find attached your investment confirmation, along with key information for your attention.

Investor Portal

You will shortly receive an email granting you access to our secure investor portal, www.cis-transact.fundrock.co.za. Through the portal, you can:

- Access your latest investment details and values
- Download investment statements and tax certificates
- Transact online

Administration Fee

- From 1 November 2026, we will levy a monthly minimum administration fee per investment account for investors who do not transact online with investor balances of:

Ceding an investment

To cede part, or all, of an investment, you must:

- Submit a signed request to cis-instructions@fundrock.com
- The form is available on www.fundrock.co.za

You will be mailed a confirmation letter which will be sent to the cessionary upon registration and/or cancellation of the cession. Cessions cannot be changed. You will need to cancel and re-register a cession to amend the cessionary information. If some of your units have been ceded, the written consent of the cessionary is required to switch portfolios. You can still trade on any units that have not been ceded.

Income distributions

Income distributions can be reinvested or paid into your bank account. Income distributions of less than R300 will always be reinvested. To reinvest distributions, you should tick the relevant box on the Fundrock Collective Investments application form.

Changes to personal details

To change personal details regarding an investment, the following is required:

Change of address

- Completed Investor Details Update Form.

Change of bank details

- Completed Investor Details Update Form.
- Proof of your new bank details, such as a bank statement.

Change of surname (marital status)

Completed Investor Details Update Form.

- Copy of your marriage certificate or divorce order with your old and new signatures.
- ID copy with 3 specimen signatures.

Update FICA status

- A FICA Annexure form is required
- A copy of ID needs to be sent with the form

The signed form(s) should be emailed to cis-instructions@fundrock.com together with the required standard documentation.

Power of attorney

To institute a power of attorney, the following is required:

- Original / certified copy of the general power of attorney.
- Contact particulars for the authorised person(s).
- Copy of the authorised signatory(ies) ID together with specimen signature and a utility bill (not older than three months) reflecting the physical address of the authorised signatory(ies).
- Annexure A and ID of person acting on behalf of client

Estate late

- When dealing with late estates the following is required:
- Executors complete a repurchase form or transfer form
- Email instruction to cis-instructions@fundrock.com
- Copy of death certificate
- Letter of executorship / letter of authority
- FICA documents for the executor
- Copy of the Will
- J192 form
- The DHA1663 form
- We are only able to pay money into an Estate Late bank account

Outstanding requirements

"Outstanding requirements" is outstanding information that prevents our administrators from acting on an instruction. A list of the missing information will be emailed to whoever submitted the instruction (e.g. if the instruction was submitted by a financial adviser, the request for more information will be sent to the financial adviser, the same if the instruction was submitted by you). Our administrators are only able to complete an instruction once all outstanding information has been received.

FundRock Investor Portal
Client Friendly User Guide
Investor View

1. Introduction
This guide provides practical, step-by-step guidance for using the FundRock Investor Portal. It has been written in a client-friendly format, with screenshots included to help users recognise each screen and complete common activities with confidence.

Purpose
- Explain how to access and navigate the Investor Portal.
- Show investors how to view portfolio information and complete common transactions.
- Promote secure portal usage, including password management, two-factor authentication and secure logout.

- **Intended audience**
- Investors with direct access to the Investor Portal.
- Client service teams supporting portal queries.

Important: Screens in this guide may vary depending on the user profile, access permissions, investment products and portal configuration available to the user.

2. Quick Reference

User type	Common activities	Where to start
Investor	Log in securely, view portfolio information, manage account details, set up two-factor authentication, invest, withdraw, switch funds and log out securely.	Start with Part A: Investor View.

PART A: INVESTOR VIEW

3. Investor Login
Investor users log in to the portal using their allocated credentials. The login page is the secure entry point to the Investor Portal.

1. Open the Investor Portal link.
2. Enter the username.
3. Enter the password.
4. Select Sign In.
5. Complete the authentication process if prompted.

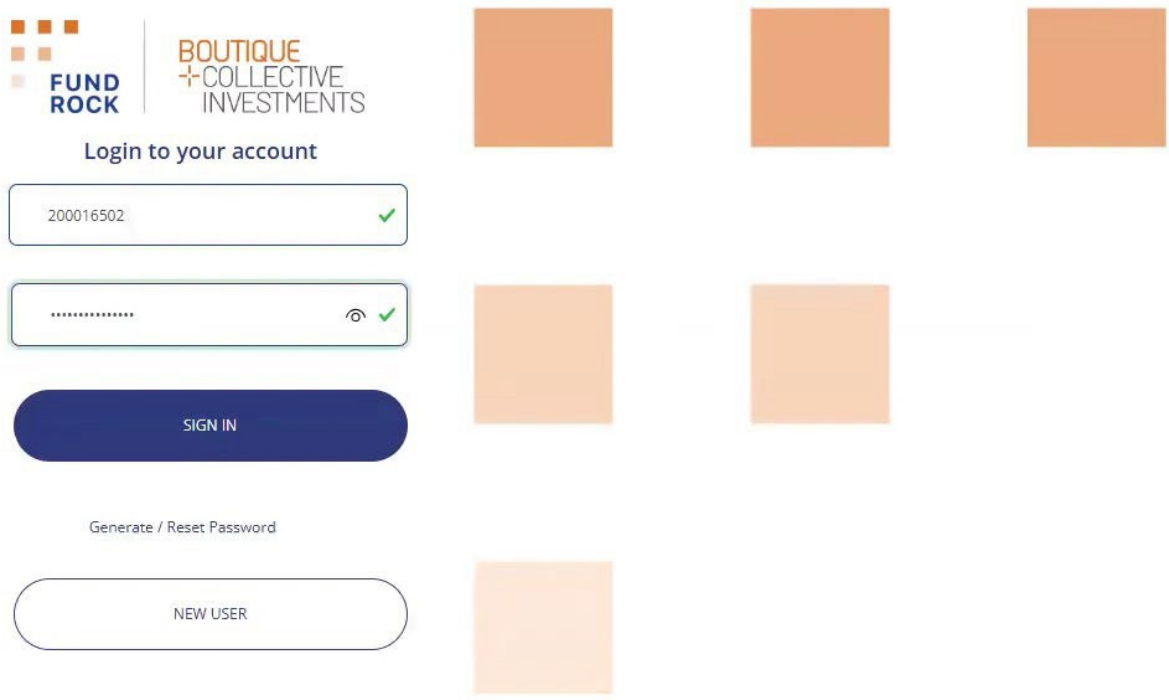

Figure 1: Investor Login Screen

4. Password Expiry and Password Reset

If a password has expired, the portal displays a message asking the user to update the password. The user should follow the on-screen prompts or use the password reset option from the login page.

1. Read the error message displayed.
2. Close the message.
3. Return to the login or password reset process.
4. Generate or reset the password as required.
5. Log in again using the updated credentials.

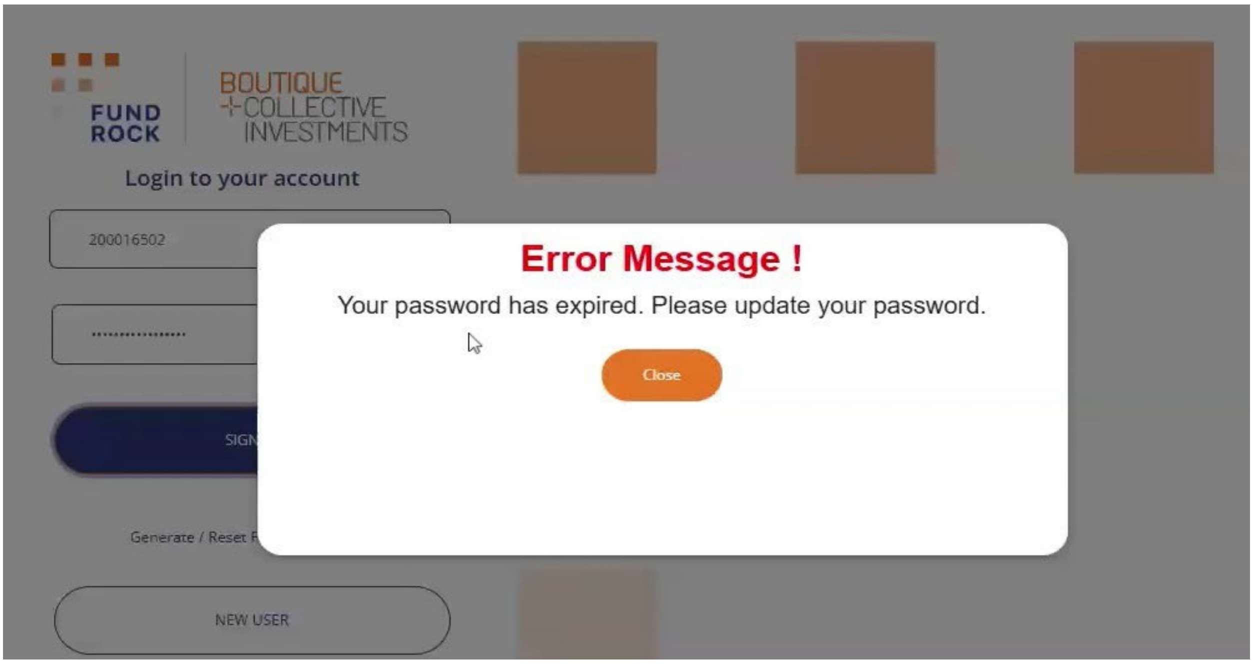

Figure 2: Password Expired Message

5. One-Time Pin Confirmation

The portal may require a One-Time Pin as part of the login or authentication process. This provides an additional layer of security.

1. Enter the One-Time Pin received or generated through the relevant authentication method.
2. Confirm the pin on screen.
3. Return to the login page if required.

Security reminder: Never share a One-Time Pin or authentication code with another person.

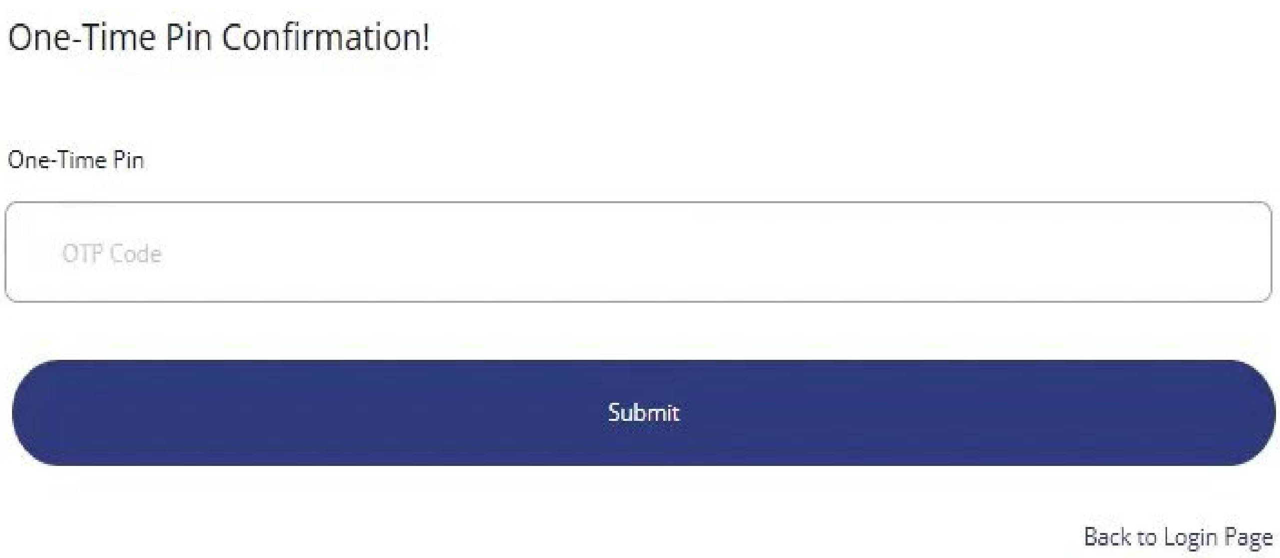

Figure 3: One-Time Pin Confirmation Screen

6. Investor Dashboard and Portfolio Overview

After successful login, the investor portfolio page displays investment information linked to the investor profile. The dashboard is the starting point for reviewing holdings and accessing common functions.

Common information displayed

- Selected investment product.
- Funds linked to the investor account.
- Units held and market value information.
- Financial adviser information.
- Actions such as Invest, Withdraw and Switch Funds where enabled.

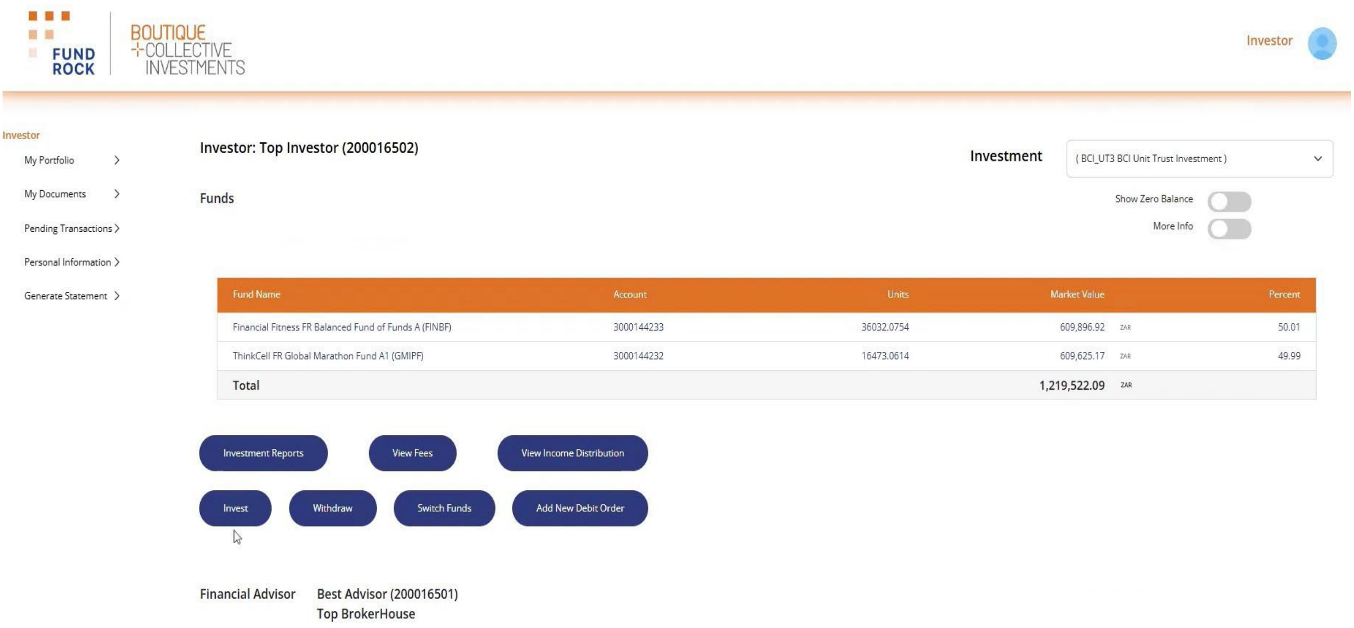

Figure 4: Investor Portfolio Dashboard

7. User Profile Menu

The user profile menu provides access to account-related functions, including Change Password and Logout. Users should use the Logout option when leaving the portal.

- Change Password
- Logout

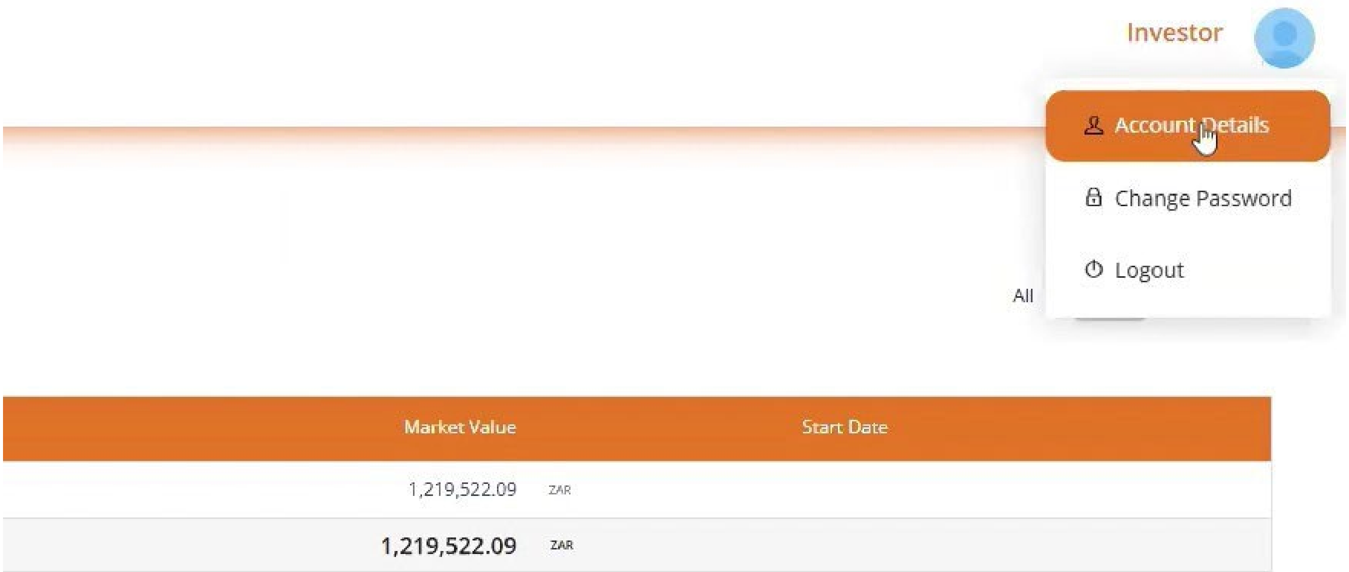

Figure 5: User Profile Menu

8. Account Details and Two-Factor Authentication

The Account Details area allows users to view account information and manage security preferences such as Two-Factor Authentication, where enabled.

Information displayed

- Username
- Contact number
- Contact email
- Two-Factor Authentication selection

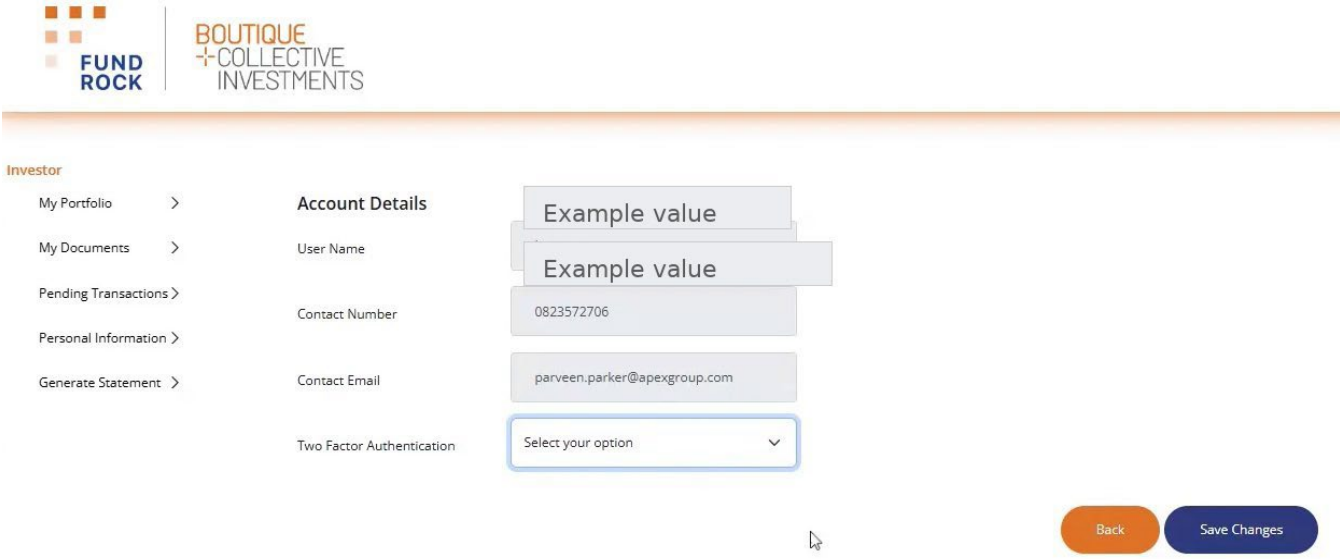

Figure 6: Account Details Screen

9. Authenticator Setup

When setting up an authenticator application, the portal displays a QR code and setup instructions. The user can scan the QR code or enter the setup code manually if the QR code cannot be scanned.

1. Open the Two-Factor Authentication setup area.
2. Scan the QR code using the selected authenticator application.
3. If the QR code cannot be scanned, enter the code manually.
4. Complete the verification process on screen.

Security note: The QR code shown in this guide has been hidden for security. A live QR code should not be distributed in training material.

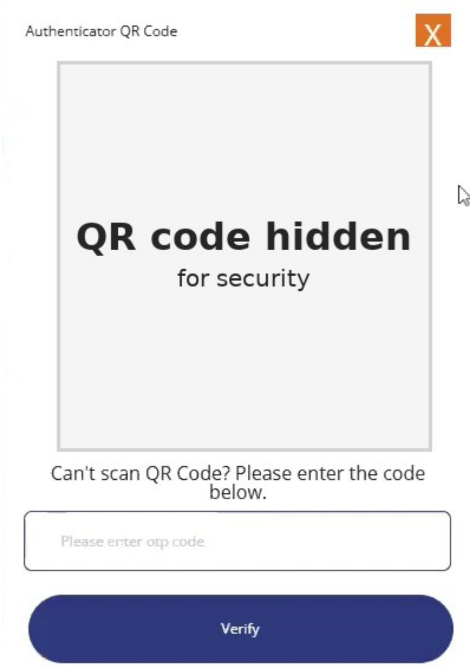

Figure 7: Authenticator QR Code Setup

10. OTP Code Verification

Once an authenticator is configured, the portal may request an OTP Code Verification before the user can continue.

1. Open the authenticator application.
2. Enter the current OTP code displayed in the application.
3. Select Verify or continue using the available on-screen option.

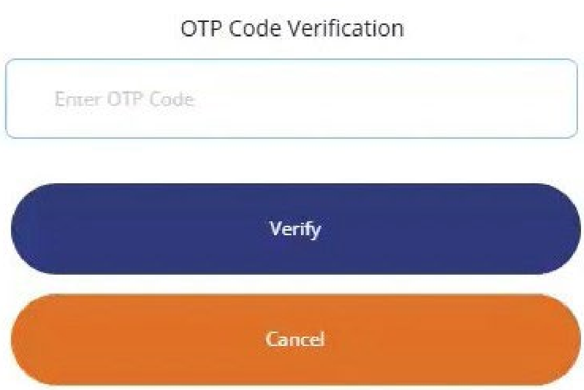

Figure 8: OTP Code Verification Screen

11. Making an Additional Investment

The Contribution screen allows investors to capture an additional investment request. For EFT-based contributions, proof of payment is mandatory as indicated on screen.

Procedure

1. Select Invest or Contribution from the investor portfolio.
2. Select the payment method.
3. Capture the source of funds information.
4. Enter the deposit date and deposit reference.
5. Allocate the contribution amount across the available fund options.
6. Upload proof of payment where required.
7. Review the information before submitting.

Important: Always verify the investment amount, fund allocation and payment reference before submitting a contribution request.

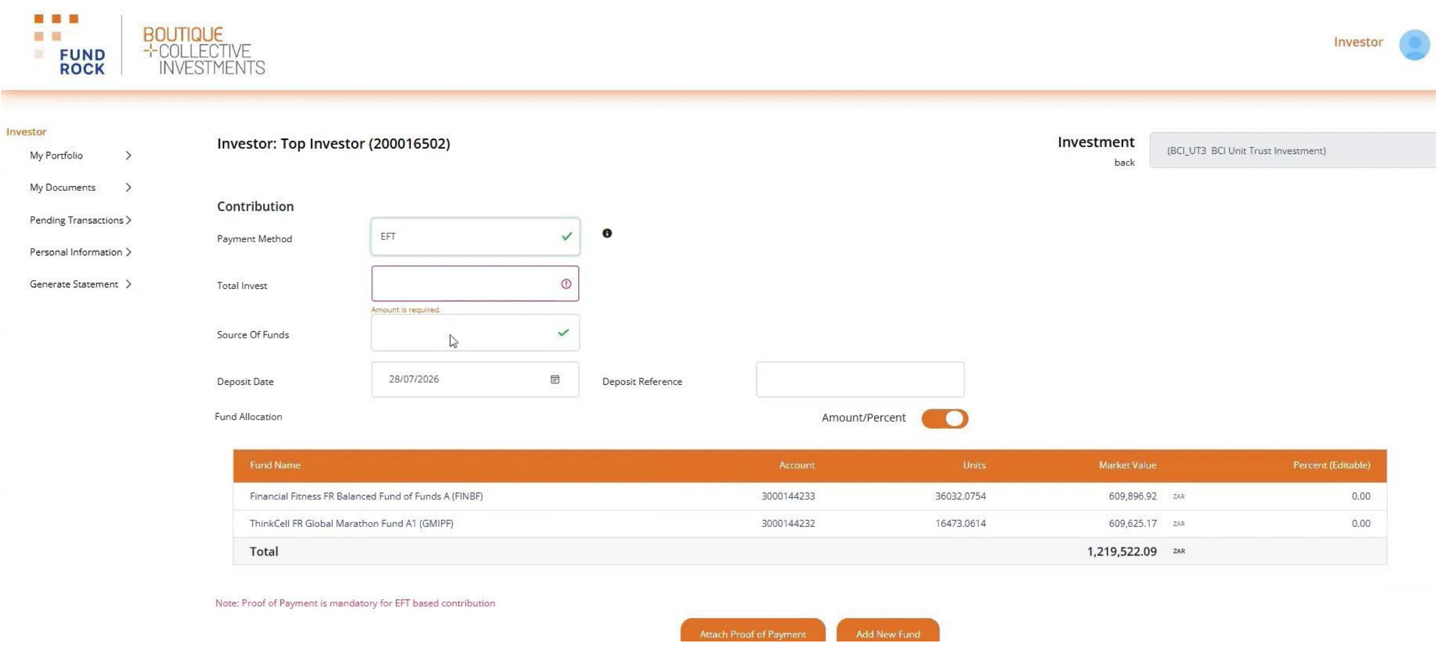

Figure 9: Contribution Screen

12. Requesting a Withdrawal

The Withdrawal screen allows users to request a full or partial withdrawal, where this function is enabled. Banking information and investment terms and conditions must be reviewed before continuing.

1. Select Withdraw from the investor portfolio.
2. Choose Partial Withdraw or Full Withdraw.
3. Review the account and bank information displayed.
4. Select the withdrawal per fund information where applicable.
5. Read and accept the investment terms and conditions.
6. Continue to review and submit the withdrawal request.

Note: Withdrawal requests are subject to validation and processing requirements.

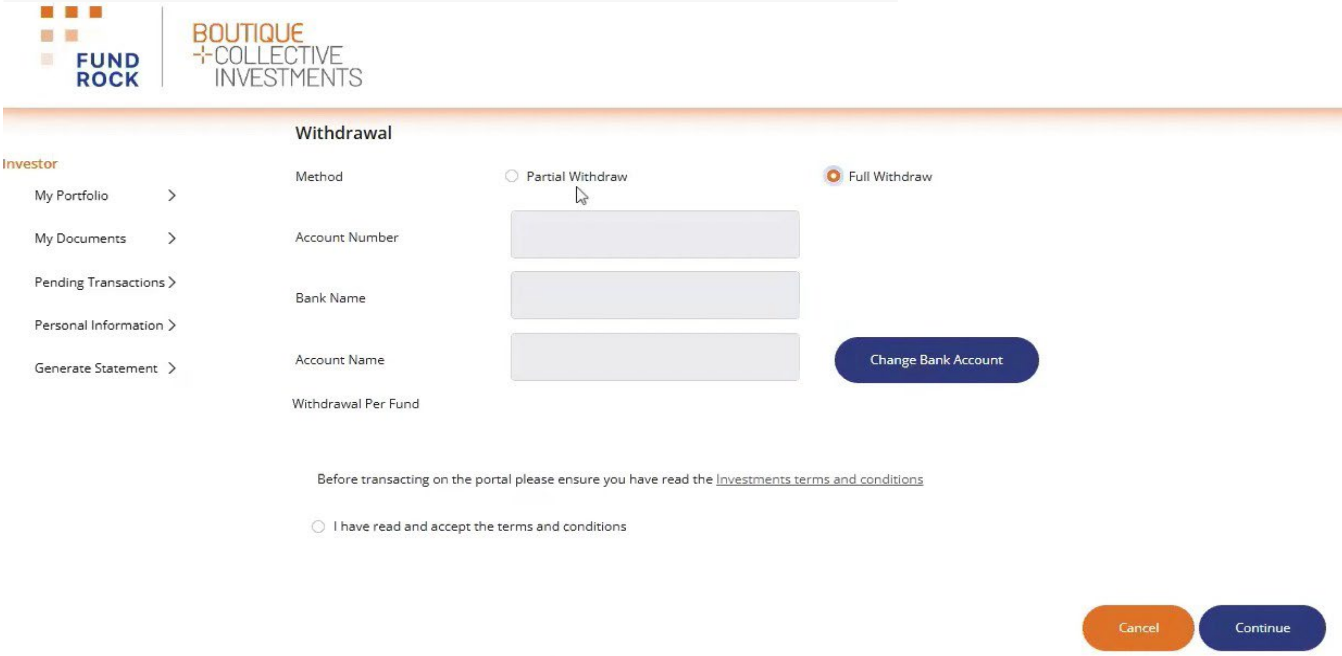

Figure 10: Withdrawal Request Screen

13. Switching Between Funds

The Create Switch screen allows users to switch value between available funds, where fund switching is enabled for the selected investment.

1. Select Switch Funds from the investor portfolio.
2. Select the switch type, such as amount or percentage where available.
3. Select the From Account or source fund.
4. Enter the switch amount or percentage.
5. Select the To Account or destination fund.
6. Add the switch change and review the switch summary.
7. Submit the switch request once all details are correct.

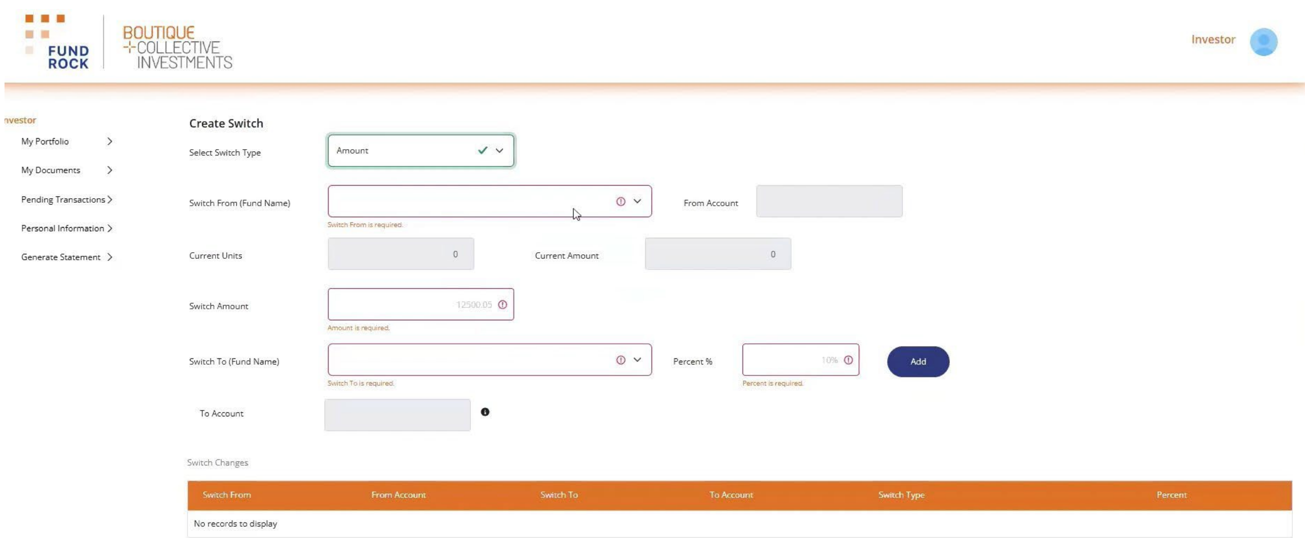

Figure 11: Create Switch Screen

14. Secure Logout

Users should log out securely when they have finished using the portal or before leaving a workstation unattended.

1. Select the profile menu.
2. Select Logout.
3. Close the browser if required by your organisation security policy.

Best practice: Never leave an active Investor Portal session open and unattended.

15. Everyday Best Practice

- Confirm that the correct investor record is selected before reviewing information or performing any action.
- Review all information carefully before saving, submitting or continuing.
- Use specific search criteria where filters are available.
- Do not share usernames, passwords, OTP codes or authenticator details.
- Always log out at the end of each session.

16. Glossary

Term	Meaning
Adviser / Broker House	The adviser or broker entity linked to investors on the portal.
Investor	The person or entity with investment information available on the portal.
OTP	One-Time Pin or One-Time Password used as part of authentication.
Two-Factor Authentication	An additional security step used to confirm the identity of a user.
Contribution	An additional investment captured through the portal, where enabled.
Withdrawal	A request to withdraw part or all of an investment, where enabled.
Switch	A request to move value between available funds, where enabled.

Our Client Support Centre's, based in Bellville, are staffed with highly trained individuals who are there to answer your queries and assist you in any way they can.

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 (0)21 441 4100

Contact us

Tel: +27 21 007 1500/1/2 or 021 879 9937/9

Email: sa-clientsupport@fundrock.com
Visit our website: www.fundrock.co.za

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

FICA REQUIREMENTS ANNEXURE

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. Third Party Representing another Individual/Power Attorney

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

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

1.5. Minors

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

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

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

1.5.4. Proof of Bank Details of the minor

2. LEGAL PERSONS

2.1. SA Companies (listed and unlisted)

2.1.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout

2.1.2. Proof of Authority to act on behalf of the company (e.g. Board resolution, court order)

2.1.3. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company

2.1.4. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.2. SA Close Corporations

2.2.1. Founding Statement or Certificate of Incorporation (CK1) or most recent CIPC printout

2.2.2. Amended Founding Statement (CK2) (if applicable for name change)

2.2.3. Proof of Authority to act on behalf of Closed Corporation (e.g. resolution)

2.2.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for natural person who owns controlling interest, all members AND each authorised person

2.3. Foreign Companies (listed and unlisted)

2.3.1. Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company

2.3.2. Certificate of Incorporation or foreign equivalent reflecting registration address of the company

2.3.3. Proof of Authority to act on behalf of the company (e.g. Board resolution)

2.3.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), and natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company (i.e. nominee shareholders of controlling shares)

2.3.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors

2.3.6. Proof of address (not older than 3 months) for each foreign natural person

2.4. Partnership

2.4.1. Copy of Partnership Agreement

2.4.2. Proof of Authority to act on behalf of the partnership (e.g. Board resolution, court order)

2.4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

2.4.4. Completed Annexure A for each partner, each authorised person and each partner/member of partnership, including an anonymous partnership or a similar partnership and person who exercises control over the partnership

3. TRUSTS

3.1. Copy of Letters of Authority reflecting name and registration number of the Trust stamped by the Master of the High Court
3.2. Copy of the Trust Deed
3.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals) for all founders, all beneficiaries, all Trustees and all persons acting on behalf of the Trust
3.4. Copy of Trustee resolution
3.5. Completed Annexure A for each Founder, Trustee, Beneficiary and all persons acting on behalf of the Trust
3.6. Provide death certificate in event of Founder, Trustee or beneficiary being deceased. Should a Trustee become deceased or resign, a new Letter of Authority must be obtained from the Master of the High Court or Endorsement letter stamped by the Master of High Court
3.7. If the Trustee is a corporate Trustee represented by a representative, please provide documents as per point 2

4. TESTAMENTARY TRUSTS

4.1. Letters of Authority issued by Master of High Court
4.2. Copy of Trustee resolution/power of attorney
4.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all Trustees, Beneficiaries and authorised persons
4.4. Completed Annexure A for all Trustees, Beneficiaries and authorised persons and authorised person

5. RETIREMENT FUNDS/PROVIDENT FUNDS

5.1. Copy of FSCA document reflecting the funds registration number and fund name
5.2. Proof of Authority to act on behalf of Retirement Fund (e.g. resolution)
5.3. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons and all trustees
5.4. Completed Annexure A for each authorised person and each trustee
5.5. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the Retirement Fund, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the Retirement Fund

6. OTHER LEGAL ENTITIES

(Unions, Clubs, Churches, NPOs, Stokvels, Associations, Schools, Universities, etc.)
6.1. Founding document or Document of constitution or Registration certificate
6.2. List of all members
6.3. Resolution signed by all members appointing authorised signatories
6.4. Copy of green bar-coded Identity Document/ID Card (South African citizens) or Passport (Foreign Nationals), of all authorised persons, members and management
6.5. Completed Annexure A for all members, management and authorised persons of the legal entity
6.6. If a 3rd party is appointed (mandated/power of attorney) to act on behalf of the legal entity, completed Annexure A for each authorised person acting on behalf of the legal entity and resolution signed by the authorised signatories of the legal entity
6.7. Proof of Authority to act appointing 3rd party (e.g. mandate, resolution, power of attorney)

7. COLLECTIVE INVESTMENTS (FUNDS)

7.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
7.2. Copy of schemes FSCA approved Supplemental Deed or foreign equivalent
7.3. Proof of authority to act on behalf of CIS (e.g. Resolution)
7.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
7.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
7.6 AML Comfort letter confirming compliance

8. LINKED INVESTMENT SERVICE PROVIDER (LISP)

8.1. Certificate of Incorporation (CM1/COR21.1/COR14.3) or most recent CIPC printout or Certificate of Incorporation or foreign equivalent reflecting registered name and registration number of the company
8.2. Copy of FSCA document reflecting the LISPS registration number
8.3. Proof of authority to act on behalf of LISP (e.g. Resolution)
8.4. Completed Annexure A and copy of green bar-coded Identity Document/ID Card (South African citizens) or passport (Foreign Nationals) for each authorised signatory, all directors, each natural person who exercises control over the management of the company (CEO, Manager), **and** natural person/s who independently or together with another person has a controlling ownership interest of 5% or more in the company or each natural person who exercises control of the company through other means, including through his or her ownership or control of the company
8.5. Copy of shareholding certificates OR organogram of company structure reflecting percentage shareholding signed by director OR confirmation of shareholding on a company letterhead signed by company secretary/auditors
8.6 AML Comfort letter confirming compliance

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.*