

<a href="https://www.apexgroup.com/investec-basket-information/HOLDERNUMBER">https://www.apexgroup.com/investec-basket-information/HOLDERNUMBER</a>	
REGISTERED NAME	

**ALL COMPLETED TOP UP APPLICATION FORMS MUST BE RECEIVED BY ELECTRONIC MEANS.**

**PLEASE SEND YOUR COMPLETED TOP UP FORM DIRECT TO THE ADMINISTRATOR AND COPY IN THE INVESTMENT ADVISOR - A TOP UP FORM WILL ONLY BE ACCEPTED WITH A COMPLETED ELECTION FORM.**

**DEADLINE: ON OR BEFORE 10 DECEMBER 2025**

Administrator: [basketsrollover@apexgroup.com](mailto:basketsrollover@apexgroup.com)

Investment Advisor: [spsupport@investec.co.za](mailto:spsupport@investec.co.za)

**IF THE INVESTMENT ADVISOR IS NOT COPIED INTO THE EMAIL, THE TOP UP FORM WILL BE DEEMED TO NOT BE RECEIVED.**

## CHECKLIST

1. Completed Election Form SENT TO [basketelections@apexgroup.com](mailto:basketelections@apexgroup.com)
2. Certified documentation to evidence change in details, as applicable:
  - a. Proof of Address
  - b. Proof of Identity
  - c. Other documentation
3. Source of Funds and Source of Wealth signed declaration 
  - a. Evidence to corroborate SoF
  - b. Evidence to corroborate SoW

As an existing Shareholder you have the option to invest further funds into the Company either in Class A Shares or Class B Shares.

Prior to making an additional investment in the Company please read this Top Up Application Form (“**Top Up Application Form**”) in full and review the Final 2025 Prospectus which can be found at <https://www.apexgroup.com/investec-basket-information/> (this will be designated as “**Final 2025 Prospectus**” on the website). Completed Top Up Application Forms sent or received by the Company prior to the Final 2025 Prospectus being issued will not be valid and will be returned.

If you are in any doubt about the contents of this document or the Final 2025 Prospectus, you should consult your accountant, legal professional, tax adviser or financial adviser.

**IMPORTANT:** The shares will NOT be allotted to the Shareholder until the Administrator is satisfied that the Top Up Application Form is completed in full, due diligence documentation remains compliant with current regulations and the funds have cleared in the Company bank account. The Company reserves the right to reject any application, in whole or in part, and if rejected the application money or any balance will be returned to the applicant as soon as practical, and all bank charges will be borne by the applicant.

If the funds cleared do not correspond to a specific number of shares, the Company will issue such shares as applicable calculated to three decimal places.

Your application to invest in the Company should be made by completing this Top Up Application Form and emailing the duly completed and signed form to the Investment Adviser AND the Administrator s detailed on page 1.

**You must also complete an Election Form with The Top Up Application.**

<b>HOLDER NUMBER</b>	
<b>REGISTERED NAME</b>	

**SECTION 1: INVESTMENT IN ADVANCED INVESTMENT HOLDINGS LIMITED**

**SUBSCRIPTION REQUEST:**

**PLEASE STATE MONETARY AMOUNT OR NUMBER OF SHARES (NOT BOTH):**

- I/we have completed an Election Form.
- I/we have read the **Final 2025 Prospectus** available on the website at <https://www.apexgroup.com/investec-basket-information/>.

<b>I/We wish to invest:</b>		<b>MONETARY AMOUNT</b>
<b>AIHL Class A Shares</b>	<b>GBP</b>	
Upfront fee %, if applicable		
VAT % on upfront fee, if applicable		
Total upfront fee %, including VAT		

<b>I/We wish to invest:</b>		<b>MONETARY AMOUNT</b>
<b>AIHL Class B Shares</b>	<b>USD</b>	
Upfront fee %, if applicable		
VAT % on upfront fee, if applicable		
Total upfront fee %, including VAT		

Please note a minimum aggregate of 5 Shares being subscribed for pursuant to the **Final 2025 Prospectus** and the minimum aggregate subscription price should be GBP9,000 for the A Class Shares and USD12,000 for B Class Shares.

The information collected in this Top Up Application Form allows us to assess our requirements in respect of customer due diligence (“CDD”) for the purposes of AML/CFT and tax information exchange compliance, therefore, ALL sections must be fully completed (even if you state “Not Applicable”).

Each investor must provide us with suitable certified diligence documentation before investment takes place and you will find our requirements set out within this document. Please take care to read our instructions carefully as we are unable to accept documents or certifications which do not meet these specifications.

In addition, please note that in some circumstances will require us to treat an investor as higher risk and, in such cases, enhanced due diligence involving additional verification documents including source of funds and source of wealth will be requested.

**SECTION 2: SOURCE OF FUNDS AND SOURCE OF WEALTH DECLARATION**

In order to comply with our anti-money laundering regulatory obligations, we are obliged to obtain information about the origin of your funds being used for the investment as set out in the attached Source of Funds (SoF) and Source of Wealth (SoW) Declaration (“**Declaration**”) appended to this application form, prior to completing the investment transaction as well as information about the source of your wealth. Each applicant must complete this application form together with the declaration.

Original certified documentary evidence of your Source of Funds and Source of Wealth IS REQUIRED where you live in a High Risk jurisdiction, for instance South Africa; and/or if you are deemed a Politically Exposed Person (PEP). Examples of this are in Appendix 1 within the Declaration.

Please do not give generic responses such as employment or inheritance. Instead, please provide specific details.

We reserve the right to request more information from you should your responses in this declaration not satisfy our anti-money laundering regulatory obligations

**Source of Funds:** is the activity which generated the monies which are being invested. Remitter details and information on the location of the SoF should also be included to demonstrate the origin of the funds.\*\*

**Source of Wealth:** relates to the origin of your wealth and is the economic activity which generated your net worth (not just the funds being invested). Examples of SoW could include savings built up from years of accrued salary and bonuses, inheritance of shares from a family business which has been paying dividends for a specified period of time, accumulated profits held in a shareholders’ fund from a specified business over time, or a series of stratified investments in a specified field/industry.

\*\*If your investment is being made using money gifted to you from another party or an inheritance, the SoW and SoF of that individual will also be required.

Please do not hesitate to contact the Administrator if further guidance is required.

**SECTION 3: FINANCIAL ADVISER DETAILS**

All applications must be made through a Financial Adviser/Distributor - please provide the details below. The application form will not be accepted without this section completed.

Financial Adviser / Entity Name	
Financial Adviser Individual’s Name	
FSP Number	
Address Line 1	
Address Line 2	
City	
State   Region	
Post Code	
Country   Jurisdiction	

**TELEPHONE NUMBER:**

Dial Code	+	
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All correspondence will be sent to both the registered holder and your Financial Adviser by Email.

**FINANCIAL ADVISER Email ADDRESS - PLEASE PRINT**

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**SECTION 4: TERMS AND CONDITIONS**

1. Words and phrases used in the Application Form and other related forms shall have the same meaning ascribed to them in the section titled “Definitions” above and in the Final 2025 Prospectus (available in electronic format).
2. If money is received in the Company’s bank account but the Application Form and/or any other related forms are incomplete either from a regulatory or legal standpoint, the Company will be unable to proceed with the investment until all satisfactory information is received, which information must be received prior to the offer deadline of 10 December 2025.
3. The Investment Adviser, the Company and the Administrator accept no responsibility for the transfer of funds to the Company’s nominated bank account. It is the Applicant’s responsibility to ensure that the funds are received by the Company in its nominated account on or before the Closing Date.
4. The Investment Adviser, the Company and the Administrator reserve the right to refuse applications for investment at their discretion.
5. All application forms and client due diligence must be received in original signed form at the offices of the Administrator detailed in the Application Form.
6. The minimum subscription amount is noted in the Application Form and in the Final 2025 Prospectus.
7. To avoid unnecessary expense and to facilitate redemption of shares, share certificates will not be issued, contract notes will be issued in their place.

**SECTION 5: DECLARATION (ALL APPLICANTS MUST SIGN THIS DECLARATION)**

The Applicant (which includes both applicants where a joint application is made):

1. warrants that all the information given in the Application Form, and in all documents that have been or will be signed and/or submitted by the Applicant in connection with the proposed investment, whether in handwriting or not, is true and complete.
2. agrees that all the statements which the Applicant has made in the Application Form and the documents stated above are accurate and true and any mis-statement or omission made by the Applicant may lead to any contract made being declared void by the Company and/or the Administrator, and the Company shall be entitled to deduct all costs and expenses incurred by the Company and/or the Administrator in connection with any mis-statement or omission made by the Applicant, from all monies paid by the Applicant.
3. agrees that no statement, whether made by the Applicant or by the person canvassing for or handling the application in relation to the proposed investment or by any other person, shall be binding upon the Company and/or the Administrator unless the same be reduced to writing, submitted to the Company and the Administrator and made part of the contract.
4. agrees that should this application be accepted by the Company and the Administrator it will be conditional

upon there having been no material alteration to the facts on which the acceptance was based.

5. has read and understood the terms and conditions of the Company’s Final 2025 Prospectus, agrees to be bound thereby and is acquainted with the charges of the Investment Adviser, the Administrator, and the Company.
6. agrees and acknowledges that if an adjustment event (such as a change in law, tax, hedging costs etc.) occurred under the Debt Instruments it will reduce the amount to be paid to the Company and then the capital protection to be provided by the Debt Instruments may not be fully effective.
7. is not resident in the United States of America and its territories nor resident in any jurisdiction where investments in the Company would be unlawful or otherwise not permitted.
8. confirms that the Applicant is aware of the risks involved in investing in the Company and (in the case of natural persons only) is 18 years of age or over.
9. is aware that taxation consequences might be relevant to the acquisition, holding or disposal of shares and that the Applicant will take appropriate tax advice in this regard and ensure that the Applicant complies with all laws applicable to the Applicant country of residence.
10. agrees that the Company cannot be held responsible for any tax liability that arises as a result of investing in the Company.
11. is an applicant that can afford to take a higher degree of risk, which may include the risk of the loss of the Applicant’s entire investment, and who has extensive knowledge and experience in financial and business matters and is capable of evaluating the merits and risks associated with an investment in the Company.
12. acknowledges that the accounts and notices of the Company will be sent electronically and will be sent to the email address provided in the Application Form.
13. acknowledges that fractions of shares may be issued.
14. acknowledges and agrees that as an applicant, the Applicant represents and warrants that the Applicant has read and understood the terms of the appropriate privacy policy, found by accessing the link in the section titled “*Privacy Policy*” below.
15. confirms that, in the case of a third-party applicant, the Applicant has provided adequate notice to the data subject and obtained all necessary consents in order to enable the Administrator, Company and controlling affiliates to process the third-party applicant’s personal information; and the Applicant hereby fully indemnifies the Company and/or Administrator and/or any of the controller affiliates and keep them fully and effectively indemnified against all costs and demands, claims, expenses (including legal costs and disbursements on a full indemnity basis), losses (including indirect losses and loss of profits, business and reputation), actions, proceedings and liabilities of whatsoever nature arising from or incurred by the Company and/or the Administrator and/or the controller affiliates in connection with any failure by the Applicant and third party applicant to comply with the provisions of this respectively.
16. acknowledges on its own behalf and on behalf of the third party applicant, that the Company, controller affiliates and Administrator may transfer personal information to a third country in accordance with the terms of the privacy notice provided.
17. confirms that the Applicant has read and understood the FATCA and CRS forms applicable to the application and agrees to make the declarations set out under these forms.
18. agrees to provide such information as the Company deems necessary, and may request from time to time, to comply with FATCA, CRS, any FFI (Foreign Financial Institution) agreement from time to time in force, or any obligation arising under the implementation of any applicable intergovernmental agreement.
19. agrees that the information contained in the Application Form and the forms referred to under Section 5 of the Application Form (including information regarding the Related Parties, Controlling Person (in the case of an Applicant that is a company) and any Reportable Account(s)) may be reported to the tax authorities

of the country in which information is maintained and exchanged with tax authorities of another country or countries in which the Applicant(s), Related Parties and/or Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

20. certifies that the Applicant is (in the case of an Applicant that is a company) authorised to sign for the Related Parties and/or Controlling Person, to which the Related Parties and Controlling Persons Identification Form relates and where the Applicant is not the Related Party or Controlling Person.
21. confirms that where the Applicant has provided information regarding any other person (such as a Related Party, Controlling Person or other Reportable Person to which the Application Form and other forms as set out under Section 5 of the Application Form relates) that the Applicant will, within 30 days of signing this the Application Form and other related forms, notify those persons that the Applicant has provided such information and that such information may be provided to the tax authorities of the country in which the information is maintained and exchanged with tax authorities of another country or countries in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
22. undertakes to advise the Administrator within 30 days of any change in circumstances which affects the tax residency status of the individual identified in the Application Form or any other related forms as set out under Section 5 of the Application Form or causes the information contained therein to become incorrect, and to provide the Administrator with a suitably updated self-certification and declaration within 90 days of such change in circumstances.
23. acknowledges and understands the investment objective as described in the Final 2025 Prospectus of the Company.
24. confirms that the Applicant(s) read and understood the declarations made herein and understands its implications.

#### **SECTION 6: PRIVACY POLICY**

The Apex Data Protection Privacy Notice sets out how personal data is collected, processed and disclosed. The full privacy notice can be viewed via the following link, <https://www.apexgroup.com/privacy/privacy-notice-guernsey/>. The annual review of this notice took place on 1 August 2024. Any questions about the use of the Applicant’s personal data, the retention procedures or security processes, please contact our Apex Group Guernsey Data Protection Officer by email at [cidpo@apexgroup.com](mailto:cidpo@apexgroup.com) or by post to 1 Royal Plaza, Royal Avenue, St Peter Port, Guernsey, GY1 2HL.

If the Applicant is already a shareholder in the Company, then the Company is already the controller of the Applicant’s personal data and the full privacy notice of the Company can be found via the following link, <https://www.apexgroup.com/investec-basket-information/>. If you have any questions about our use of your personal data, our retention procedures or our security processes, please contact the Administrator on behalf of the Company.

#### **SECTION 7: AUTHORISED SIGNATURES**

By signing this form, the Applicant acknowledges that the Applicant has received, understood and if required, taken guidance on the Prospectus, and accept that the investment is suitable to the Applicant’s specific investment objectives and needs.

If you are completing this on behalf of someone else, please clearly indicate the capacity in which you have **signed this form** (for example, you may be a signatory under a Power of Attorney or completing under a signatory authority) but noting if you sign under a Power of Attorney or equivalent document then you must

provide evidence of the signatory power/discretionary mandate to the Administrator. Please note electronic signatures are only accepted using DocuSign.

	DD / MONTH / YEAR	
Sole or 1st shareholder signature	Date	Place
	DD / MONTH / YEAR	
2nd shareholder signature	Date	Place
	DD / MONTH / YEAR	
3rd shareholder signature	Date	Place

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Signatures and bank account details will be checked by the Administrator and verified accordingly.