

Application Form for Individual and Joint Investors - 2024

ALL COMPLETED APPLICATION FORMS, ACCEPTABLE DUE DILIGENCE AND INVESTMENT MONEY MUST BE RECEIVED ON OR BEFORE 21 MAY 2024.

The original application form and original certified due diligence MUST be sent to the Administrator’s address below.

Contact details:

Investment Adviser:	Investec Corporate & Institutional Banking
Telephone:	+27 (0) 11 291 3092
Email:	SPSupport@investec.co.za

Administrator:	Sanne Fund Services (Guernsey) Limited
Telephone:	+44 (0) 2035 303600
Email:	basketsrollover@apexfs.group

Address:	FAO: TsholoFelo Mahlatsi Apex Group, 6 th Floor 50 Katherine St, Wierda Valley Sandton REPUBLIC OF SOUTH AFRICA 2196
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CHECKLIST

1. Fully completed and signed Application Form, main shareholder
2. Additional completed and signed Application Form/(s)
3. Original certified documentation to evidence the following:
 - a. Proof of Address (for each Natural Person)
 - b. Proof of Identity (for each Natural Person)
 - c. Other documentation per applicant (e.g., documentary for SoF and SoW)
4. Completed Politically Exposed Person (PEP) Self-Certification Form, if applicable
4. Completed Individual Tax Self-Certification per Applicant
6. Completed Source of Funds (SoF) and Source of Wealth (SoW) signed declaration
 - i. High Risk applicants - Documentary evidence to corroborate SoF; and
 - ii. High risk applicants - Documentary evidence to corroborate SoW

**All the above documents are mandatory.
If in doubt, please contact the Administrator.**

PLEASE COMPLETE THIS FORM USING TYPE-SETTING or PRINT

- If you are an **Existing investor**, please write your holder code number here

- If you are a **New investor**, a specific holder code number will be allocated to you.

As a prospective Shareholder you have the option to invest funds into the Company either in Class A Shares or Class B Shares. Should any other party retain signing authority over the investment (e.g. Financial Adviser) then due diligence documentation in respect of such other party will also be required by the Company and an original certified copy of such agreement between the parties.

Prior to making an investment in the Company please read this Application Form in full and review the Final 2024 Prospectus which can be found at <https://www.apexgroup.com/investec-basket-information/> (this will be designated as “Final 2024 Prospectus” on the website).

If you are in any doubt about the contents of this document or the Final 2024 Prospectus, you should consult your accountant, legal professional, tax adviser or financial adviser. **Please read this application form in full.**

IMPORTANT: The shares will NOT be allotted to the applicant until the Administrator is satisfied that the application form is completed in full, due diligence documentation has been received in an acceptable format 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 application form and emailing the duly completed and signed form together with certified copies of your due diligence (refer to Annexure 1) to the Investment Adviser AND the Administrator to the details on the cover page.

The information collected in this 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.

PLEASE COMPLETE THE BELOW:

Investment on own behalf or for Other Party:

- Select from the drop down -

If other, specify: _____

Investor Introduction:

- Select from the drop down -

If other, specify: _____

Investor Country of Residence:

- Select from the drop down -

If other, specify Country: _____

Investor Source of Funds (Origin of Funds):

- Select from the drop down -

If other, specify Country: _____

Investor Business Activity:

- Select from the drop down -

If other, specify: _____

SECTION 1: INVESTMENT IN CHINA SEAS BASKET LIMITED

Please select the Class you wish to invest in:

- AUD Class A USD Class B

Please insert the amount you wish to invest in either AUD or USD, noting the minimum investment amount is AUD16,000 or USD10,000.

Currency	
Amount	
Upfront fee %, if applicable	
VAT % on upfront fee%, if applicable	
Total upfront fee %, including VAT	

SECTION 2: INDIVIDUAL OR JOINT APPLICANTS – NATURAL PERSONS

If you are investing as a joint/multiple applicant(s), each applicant must complete and return an application form and relevant documents appended to the application form (e.g., SoF and SoW declaration, tax self-certification, PEP, etc.) up to a maximum of four (4) applicants, complete and return.

REGISTERED NAME (this is how the name will appear on the Company register):

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First Name/Forename(s)		
Surname		
Maiden Name/Former Name(s)		
Date of Birth		
Country of Birth		
Nationality 1**		
PASSPORT ID NUMBER	COUNTRY OF ISSUE	DATE OF EXPIRY
Nationality 2		
PASSPORT ID NUMBER	COUNTRY OF ISSUE	DATE OF EXPIRY
Nationality 3		
PASSPORT ID NUMBER	COUNTRY OF ISSUE	DATE OF EXPIRY

**** If you have more than one nationality, please provide below how this was obtained e.g. through parent, naturalisation, residence, etc. If through naturalisation, please also provide the date of change.**

Due diligence verification documents must be provided for each nationality.

ADDRESS DETAILS:

Residential address **MUST MATCH THE PROOF OF ADDRESS** provided.

SHAREHOLDER CURRENT PRIVATE RESIDENTIAL ADDRESS. P.O. Box is not acceptable.

If the MAILING address is not identical, complete separate section below.

House Name Number	
Street Name	
City	
State Region	
Post Code	
Country Jurisdiction	

MAILING/POSTAL ADDRESS, if different to residential office address provided:

House Name Number PO Box	
Street Name	
City	
State Region	
Post Code	
Country Jurisdiction	

MOBILE PHONE NUMBER:

Dial Code	+	
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HOME PHONE NUMBER:

Dial Code	+	
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OTHER PHONE NUMBER:

Dial Code	+	
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SHAREHOLDER Email ADDRESS - PLEASE PRINT.

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For the purpose of receiving annual accounts, reports and other communication. If you are unable to receive these notices by Email, please notify us immediately.

FINANCIAL ADVISER Email ADDRESS - PLEASE PRINT.

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

OCCUPATION DETAILS:

Your occupation* <i>(If retired, complete section with previous employer details prior to retirement)</i>	
Previous occupation, <i>if retired</i>	
If occupation is not listed, <i>specify</i>	
Date of retirement, if applicable	
Employer Name	
Employer Address Line 1	
Employer Address Line 2	
City	
State Region	
Post Code	
Country Jurisdiction	

SECTION 3: 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 | Source of Wealth Declaration appended to this form, prior to completing the investment transaction as well as information about the source of your wealth. Each applicant must complete this form.

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 is in Appendix 1 within the Declaration appended to this form.

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 (SoF): 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 (SoW): 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 4: HIGH RISK FACTORS

Are you a:

- (i) Commercially Exposed Person (**CEP**)? *(Please see Annexure 3 for definitions)*
 Yes No
- (ii) Resident or represent a Nationality from a High Risk Jurisdiction? *(Please see Annexure 3 for definitions)*
 Yes No
- (iii) Politically Exposed Person (**PEP**) or associated with a PEP? (e.g. by a family relationship or business relationship?) *(Please see Annexure 3 for definitions)*
 Yes No
- (iv) Yes No

If I have ticked No in 4(iv) above, I confirm that I am not now, nor have I ever been a **PEP** or closely related to a **PEP**. I confirm that if this changes I will advise the Administrator with the relevant changes as soon as practical.

If you have ticked Yes in 4(iv) above, you are a PEP. Please complete the PEP Self-Certification Form appended to this application form.

By signing this application form, I confirm that I have read and understood the definitions of a PEP, CEP and High Risk Jurisdiction in Annexure 3.

SECTION 5: 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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SECTION 6: TAX INFORMATION – FATCA AND CRS

If you have any questions on how to complete the information, please contact your tax adviser.

Please note: It is incumbent upon each Shareholder to seek appropriate tax advice under the Declaration section, the Shareholder confirms that s/he is aware that tax consequences may be relevant when making their investment.

Each individual investing must read and complete the appended **Tax Reporting – Individual Self-Certification Form** (one form per individual). If the form is being completed on behalf of the Shareholder, please clearly indicate the capacity in which you have signed this form, but noting you sign under, for example, a Power of Attorney or equivalent document – evidence of such signatory power must be provided to the Administrator.

SECTION 7: BANK ACCOUNT DETAILS

To comply with applicable Anti-Money Laundering (**AML**) and Counter-Terrorism Financing (**CTF**) rules and regulations there is a requirement to provide the following information. The subscription money **MUST** be received from an account in the name of the Applicant(s)/Investor(s). The Administrator will not accept third party payments of any kind.

The subscription money will be paid into the Company’s nominated account from the bank account details supplied below. The Administrator will pay any redemption proceeds to the same bank account details. ALL redemption proceeds will be paid in USD (including the AUD Share Class). Shareholders can request to receive their redemption proceeds in a different currency by completing the currency section of the banking details below. The Company, the Administrator and the Investment Adviser do not accept any liability for unfavourable rates of exchange at the date of the payment or transfer. The Company bank or the applicant’s bank will apply a spot rate if/where required. The Administrator will not be responsible for late payments due to incorrect or incomplete instructions, nor be liable for any bank charges which may be deducted from any redemption proceeds.

Please ensure that the residential address shown on your bank account matches your residential address written on this application form

APPLICANT BANK ACCOUNT DETAILS	
Account name	
Account Number	
Sort Code	
IBAN Number	
Bank Name	
Bank Address	
Country	
SWIFT BIC Code	
Currency	
Additional comments	

Company bank account details will be provided upon application.
The Investment Adviser, the Administrator and the Company accept no responsibility for the transfer of funds to the nominated bank account above, nor will they guarantee that they will achieve the best FX rate for the conversion of any subscription money that is not received in the base currency of the Company. It is the applicant’s responsibility to ensure that the funds are received by the Company in its nominated account on or before 21 May 2024.

SECTION 8: TERMS AND CONDITIONS

- Words and phrases:** Words and phrases used in this application form shall have the same meaning ascribed to them as in the Final 2024 Prospectus (available in electronic format).
- Incomplete application forms:** If money is received in the Company’s bank account but the application form is 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 21 May 2024.
- Transfer of funds:** 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.
- Refusal of applications:** The Investment Adviser, the Company and the Administrator reserve the right to refuse applications for investment at their discretion.
- Receipt of instructions:** All application forms and client due diligence must be received in original signed form at the offices of the Administrator detailed in this application form.
- Minimum subscription amount:** The minimum subscription amount is noted in this application form and in the Final 2024 Prospectus.
- Contract notes:** To avoid unnecessary expense and to facilitate redemption of shares, share certificates will not be issued, contract notes will be issued in their place where all client due diligence has been received and meets all regulatory requirements in the jurisdiction of Guernsey.

SECTION 9: DECLARATION (ALL APPLICANTS MUST SIGN THIS DECLARATION)

- I/We warrant that all the information given in this application, and in all documents that have been or will be signed by me/us in connection with the proposed investment, whether in my/our handwriting or not, is true and complete.
- I/We agree that all the statements I/we have made in this application and the documents stated above are accurate and true and any mis-statement or omission made by myself/ourselves 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 myself/ourselves, from all monies paid by myself/ourselves.
- I/We agree that no statement, whether made by myself/ourselves or by the person canvassing for or handling this application 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.
- I/We also agree 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.
- I/We have read and understood the terms and conditions of the Company’s Final 2024 Prospectus, I/we agree to be bound thereby and I/we have acquainted myself/ourselves with the charges of the Investment Adviser, the Administrator, and the Company.
- I/We agree and acknowledge 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.
- I am/We are **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.
- I/We confirm that I am/we are 18 years of age or over and are aware of the risks involved in investing in the Company.
- I am/We are aware that taxation consequences might be relevant to the acquisition, holding or disposal of shares and that I/we will take appropriate tax advice in this regard and ensure that I/we comply with all laws applicable to my/our country of residence. I/We agree that the Company cannot be held responsible for any tax liability that arises as a result of investing in the Company.
- I am/We are applicants that can afford to take a higher degree of risk, which may include the risk of the loss of my/our entire investment, and who have extensive knowledge and experience in financial and business matters and am/are capable of evaluating the merits and risks associated with an investment in the Company.
- I/We acknowledge that the accounts and notices of the Company will be sent electronically and will be sent to the email address provided in this application form.

12. I/We acknowledge that fractions of shares may be issued.
13. I/We acknowledge and agree that as an applicant, I/we represent and warrant that I/we have read and understood the terms of the appropriate privacy policy, found by accessing the link in Annexure 4.
14. In the case of a third-party applicant, I/we confirm that I/we have provided adequate notice to the data subject and obtained all necessary consents in order to enable the Administrator, Company and controlling affiliates to process their personal information; and I/we hereby fully indemnify 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 me/us as third party applicant to comply with the provisions of this respectively.
15. I/We and the third-party applicant (if applicable) each acknowledge 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.
16. I/We confirm that we have read and understood the FATCA and CRS section of the application form and agree to make the declarations set out under the relevant sections entitled FATCA and CRS.
17. I/We hereby agree 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.
18. I/We hereby agree that the information contained in this form and information regarding the Controlling Person 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 I/the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
19. I/We certify that I/we are authorised to sign for the Controlling Person, to which this form relates and where I am/we are not the Controlling Person.
20. I/We, hereby confirm that where I/we have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I/we will, within 30 days of signing this form, notify those persons that I/we have 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.
21. I/We hereby undertake to advise the Administrator within 30 days of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide the Administrator with a suitably updated self-certification and declaration within 90 days of such change in circumstances.
22. I/We acknowledge and understand the investment objective as described in the Final 2024 Prospectus of the Company.
23. I/We the undersigned confirm that I/we have read and understood this declaration and understand its implications.

SECTION 10: AUTHORISED SIGNATURES

By signing this application form, the applicant acknowledges that they have received, understood and if required, taken guidance on the Final 2024 Prospectus, and accept that the investment is suitable to their specific investment objectives and needs. Please note electronic signatures are only accepted using DocuSign.

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1st or sole applicant signature

Date

Place

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2nd or joint applicant signature

Date

Place

Important: This application form needs to be supported by relevant due diligence, as detailed in Annexure 1. When completing and returning this application form for investment, please do not return the Annexure pages.

Annexure 1: **Due Diligence Requirements**

The due diligence requirements listed below are correct at the time of publication of this application form. Rules, regulations, and laws (under which the Company operate) could change at any time. As such, the Administrator reserves the right to request additional due diligence as and when required to ensure compliance with current regulation.

All applicants must provide due diligence documents as detailed below.

The documentation required will vary depending on the type of applicant and whether you reside in an Appendix C country or territory as defined in the Handbook for Financial Services Businesses on Countering Financial Crime and Terrorist Financing, issued by the Guernsey Financial Services Commission (**the Handbook**).

Appendix C jurisdictions can be found here: [Appendix C Equivalent Jurisdictions GFSC Handbook v.November 2023](#)

Please refer to relevant section/s below to ensure the following due diligence documentation accompanies the application form.

Countries and territories that the GFSC have identified as presenting a higher risk of ML and/or FT can be found here: [Appendix I High Risk Countries and Territories GFSC Handbook v.November 2023](#)

Individual applicants (*for joint applications due diligence for each natural person is required*)

I. Proof of identity for each applicant:

Original certified copy of one of the following documents, each document must have a clear legible photograph and if dual nationality is held, please provide verification for each nationality;

- Valid passport
- National identity card
- Armed force’s identity card
- Driving licence (this cannot be used for both identity and address, a separate verification must be provided for each)

II. Proof of residential address for each applicant:

Original certified copy of one of the following documents, each document must be dated within three (3) months and all documents must be for a residential address, we do not accept C/O addresses, PO Box addresses or mobile telephone bills.

- Utility bill (water, electricity, gas, internet, home telephone)
- Bank statement
- Bank debit/credit card card statement
- Council Tax invoice (or other correspondence from a government department or agency)
- Driving license (this cannot be used for both identity and address, a separate verification must be provided for each)
- Electronic statements (for utility bills, bank credit cards, etc.) are deemed to be originals.
- Co habitation letter (If proof of address is provided by way of a letter of co-habitation from a person who is not party to the investment, due diligence documentation on that party will also be required). Where the applicant(s) is a party to the investment and is in a High Risk country, proof of address for each applicant must be provided.

III. Source of Funds and Source of Wealth documentary evidence for each applicant:

Each applicant must disclose, in the Source of Funds and Wealth Declaration form these details.

Original certified documentary evidence of your Source of Funds and Source of Wealth IS REQUIRED for each applicant deemed to be a High Risk Natural Person. Please refer to Appendix one in the attached Source of Funds and Wealth Declaration form.

Examples are below:

SoW = Savings from employment – we require original certified three months current wage slips from your employment; an original certified annual tax return.

SoF = Savings – we require original certified Bank Statements for a three month consecutive period confirming employment wages.

If you are unsure about what documentation to provide please contact the Administrator to discuss further.

Important:

1. Should any other party retain signing authority over the investment (e.g. Financial Adviser/Distributor) then due diligence documentation in respect of such other party will also be required by the Company and an original certified copy of such agreement between the parties.
2. All applications from non-Appendix C Jurisdictions will be considered on a case-by-case basis and additional due diligence documentation may be requested.
3. The Administrator reserves the right to request additional documentation as and when required. If an applicant is unable to supply any of the documentation described, they should contact the Administrator to discuss mutually acceptable alternative arrangements.

Annexure 1 continued: Certification of documentation

Please ensure all accompanying due diligence is certified as follows

Original certified documents without a photo

- I hereby certify this as a true copy of the original document, which I have seen.

Original certified documents with a photo

I hereby certify this to be a true copy of the original document, which I have seen, and the photograph bears a true likeness of the person named therein, who I have met.

Certifier Information required on the document

- Full name and signature
- Date of certification
- Job title/position
- Capacity in which they are signing
- Name of regulatory body (if applicable i.e. ACCA, FSA, Law Society)
- Registration number issued by a regulatory body (if applicable)
- Contact information (telephone number and/or email address)

The following persons can be considered suitable to certify due diligence documentation of natural persons:

- a member of the judiciary, a senior civil servant, or a serving police or customs officer (stamp to include member's name, title and contact telephone number);
- an officer of an embassy, consulate or high commission of the country or territory of issue of documentary evidence of identity;
- a lawyer who is a member of a recognised professional body;
- a notary public who is a member of a recognised professional body;
- an accountant who is a member of a recognised professional body;
- an actuary who is a member of a recognised professional body;
- a member of the Institute of Chartered Secretaries and Administrators; or
- a director or officer of an Appendix C Jurisdiction Regulated Financial Services Business (see the definition in Appendix C to the Handbook) or of a Financial Services Business subject to group/parent policy where the Head Office is situated and regulated in a country or territory listed in Appendix C to the Handbook.

A certifier cannot be closely related to the person whose identity is being certified and the certifier cannot certify their own documents.

Annexure 2: Financial Information, United States Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards (“CRS”)

Pursuant to FATCA and CRS regulations (together **Tax Regulations**) which refer to laws, treaties and regulations created to enable automatic exchange of tax information and any regulations, guidance or intergovernmental agreements implementing or similar to the same; the Administrator is required to collect and process certain information about each investor’s tax residency in order for it to comply with its FATCA and CRS obligations.

A number of jurisdictions have adopted similar Tax Regulations legislation designed to prevent tax evasion through the use of offshore accounts. The Company recognises each jurisdiction has its own rules for defining tax residence and each jurisdiction has provided information on how to determine whether an entity is tax resident in that jurisdiction on the OECD website (<http://www.oecd.org/tax/automatic-exchange>). For FATCA purposes, you can find more information on the U.S. IRS website (<http://www.irs.gov>).

An applicant will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of its domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. For additional information on tax residence please talk to your professional tax adviser.

Where an applicant holds tax residency outside of Guernsey the investor is legally obliged to disclose information in this application form. The Company may seek to obtain other financial information as it sees fit. The Administrator will identify and report all persons, as being subject to such legislation, to its director of income tax who may transfer this information to the government of another territory in accordance with the relevant agreement. In order to facilitate this process, certain declarations must be completed in full and signed by the following applicants:

- Any natural person or persons (this includes persons making an individual or joint application);
- Any and every beneficiary of a trust or beneficiaries of a trust who have benefited from that trust;
- Any and every beneficial owner of a company (i.e. each/ and every shareholder);
- Any controller of a corporation or company.

It is the applicant’s responsibility to determine in which jurisdiction/s they are a tax payer and the Administrator accepts no liability or responsibility for any incorrect declarations made. Should you be in any doubt over completing these sections including how you determine your tax status, you should contact your professional tax adviser.

Definitions relating to Section 4 are noted in Annexure 3 under definitions.

None of the information within this application form indicates or constitutes any form of legal or tax advice and there is no guarantee it can be accepted for completeness, editorial and technical mistakes, any questions contact your professional tax adviser.

This application form will remain valid unless there is a change in circumstances relating to the information provided by the applicant as to their tax residence or other mandatory field information that makes this form incorrect or incomplete.

For any changes, please notify the Administrator, without delay, and provide an updated declaration.

Annexure 3: Definitions

Commercially Exposed Person

Commercially Exposed Persons (CEPs) will be senior executives of well-known commercial enterprises being a national or international business which can be regarded as a household name, either locally, or elsewhere.

FATCA

FATCA stands for the Foreign Account Tax Compliance provisions, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

High Risk Applicants

If you are a Politically Exposed Person, Commercially Exposed Person or from a High Risk Jurisdiction you are considered a high risk applicant.

High Risk Jurisdictions

Please access the current list of high risk jurisdictions via the link below, but please note that these are subject to change

Participating Jurisdiction

A Participating Jurisdiction means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS.

Politically Exposed Person

The term Politically Exposed Person means any current and former senior political figure who holds or held a Prominent function *(as defined below), or a natural person who is or has been entrusted with a prominent function* (as defined below) by an international organisation.

The PEP status also applies to their immediate family and close associates. (A senior political figure is a senior figure in the executive, legislative, administrative, military or judicial branches of a government (elected or non-elected), a senior figure of a major political party, or a senior executive of a government owned corporation. It includes any corporate entity, partnership or trust relationship that has been established by, or for the benefit of, a senior political figure. Immediate family typically includes the person’s parents, siblings, spouse, partner (where considered by the law of the country or territory in which the relevant public function is held as being equivalent to a spouse), children, in-laws, grandparents and grandchildren. Close associate typically includes a person who is widely and publicly known to maintain an unusually close relationship with the PEP and includes a person who is in a position to conduct substantial domestic and international financial transactions on the PEP’s behalf

*Prominent Functions are: -

- i. Heads of state or heads of government
- ii. Senior politicians and other important officials of political parties
- iii. Senior government officials
- iv. Senior members of the judiciary
- v. Senior military officers
- vi. Senior executives of state-owned body corporates e.g. Directors, councillors and members of the board or equivalent positions

Reportable Jurisdiction

Is a jurisdiction with which an obligation to provide financial account information is in place.

Reportable Jurisdiction Person

An applicant that is a tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s).

Reportable Person

A Reportable Person is defined as a Reportable Jurisdiction Person, other than:

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a Related Entity of a corporation described in clause (a);
- (c) a Governmental Entity;
- (d) an International Organisation;
- (e) a Central Bank; or
- (f) a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that are not Participating Jurisdiction Financial Institutions. Instead, such Investment Entities are treated as Passive NFE's).

Resident for tax purposes

Generally, an applicant will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. For additional information on tax residence, please talk to your tax adviser or see the following link: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

TIN (including functional equivalent)

The term TIN means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and used to identify the individual for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the following link:

<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a functional equivalent).

Important note: These are selected definitions provided to assist you with the completion of this application form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information or the U.S. IRS website for Foreign Account Tax Compliance provisions (FATCA).

Annexure 4: Privacy Notice

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/data-protection-notice>. The annual review of this notice took place in December 2023. If you have any questions about our use of your personal data, our retention procedures or our security processes, please contact our Data Privacy Manager dpo@apexfs.com.

If you are already a shareholder in the Company, then the Company is already the controller of your personal data and the full privacy notice of the Company can be found via the following link: <https://www.apexgroup.com/investec-basket-information/>. The annual review of this notice took place in February 2023. 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.



SOURCE OF FUNDS / 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 below, prior to completing the investment transaction as well as information about the source of your wealth. In certain circumstances we will also require documentary evidence (see Appendix 1). 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.

Full Name:	
Value of investment/transaction:	
Nature of transaction or relationship:	

SECTION A: SOURCE OF FUNDS

Please provide the information on the source of funds for your investment (i.e., bank or broker accounts details) per the subscription document submitted for investment. Please provide below the information on your source of funds (e.g., dividends from a business, salary from professional employment, and profit from the sale of investments) per the subscription document submitted for investment or application for business. Please provide as much detail as possible to identify and explain your source of funds.

For example: Dividends Provide the name of the business, the period of time you have held the investment, the amount of your investment
 Employment Provide the name of your employer, your position, and the duration of your employment as well as your annual salary

Please describe fully below the source of funds:



SECTION B: SOURCE OF WEALTH

Your source of wealth can be described as the activities which have generated your **overall** wealth and are distinct from your source of funds. Your overall wealth may have been accumulated from several different sources over a period of time and **full** details must be provided to avoid any delay in processing your application.

For example:	Family Inheritance:	Provide names, relationships, dates, jurisdiction of probate and amount.
	Entrepreneurial:	Provide full details of companies, business activities, place(s) of business, website addresses and details of return on investment
	Employment:	Provide details of employer, positions held, details of salary and bonuses

Please describe below your total wealth and the source of your wealth:



SECTION C: *DOCUMENTARY EVIDENCE OF SOURCE OF FUNDS/SOURCE OF WEALTH

In certain circumstances, to meet our regulatory obligations, we are required to obtain documentary evidence to verify source of funds and source of wealth.

It is not possible to describe all situations where we will require documentary evidence, however we are able to indicate those situations where documentary evidence will definitely be required, and have provided details below:-

- 1. If you are a Politically Exposed Person (“PEP”) (or a close family member to a PEP) and/or
- 2. If you are resident in a country, have a passport issued by a country or your source of funds or wealth arises from a country detailed on Appendix 2, then documentary evidence must be provided.

Examples of documentary evidence likely to be accepted are provided on Appendix 1. However, we reserve the right to request additional information upon review of the documentation provided.

Please indicate here if you have attached documentary evidence, (and the reason why):-	
Source of Funds <input type="checkbox"/>	PEP <input type="checkbox"/> Choose an item.
Source of Wealth <input type="checkbox"/>	Jurisdictional <input type="checkbox"/>

Should you wish to confirm prior to submission of your completed Declaration, if documentary evidence of source of funds/source of wealth is required, please contact your Account Manager.

If you are unable to provide documentary evidence please contact us prior to sending in the completed Declaration.

SECTION D: ADDITIONAL TRANSACTIONS

For additional transactions, further information will generally not be required, unless the source of funds is different from that previously stated.

SECTION E: CERTIFIED DOCUMENTATION

Please note that copy documentation provided to support source of funds and source of wealth must be properly certified in accordance with our certification requirements. Improperly certified documentation could lead to delays.

SECTION F: THIRD PARTY COMPLETION

Please confirm the name and capacity of the person who completed this form on your behalf (if applicable)	
Name.....	Capacity.....



DECLARATION

I declare that the information provided is, to the best of my knowledge and belief, accurate and complete.

If I did not complete this form, I hereby confirm that the individual who completed the form on my behalf was in possession of sufficient information to allow for its proper completion.

Signature:

Date:

Name:

For Office Use Only:

Rationale for acceptance:
[Click here to enter text.](#)

MD.....

Date.....

Compliance.....

Date.....

APPENDIX 1
EXAMPLES OF ACCEPTABLE DETAILS AND DOCUMENTARY EVIDENCE TO SUPPORT DECLARATION OF SOURCE OF FUNDS AND SOURCE OF WEALTH
Appendix 1 - Source of Funding and Source of Wealth

Description of Source of Funding	Information Required	Document to Evidence the Source of Wealth (in original or certified true copy)
Income savings from professional activity <i>Note: if self employed or company share owner, please refer to Company profits below.</i>	<ul style="list-style-type: none"> Profession Salary per annum Name of the employer Nature of business 	One of the following: <ul style="list-style-type: none"> Payslip Letter from the employer confirming the salary (headed paper) Bank statement showing receipt of salary
Gift	<ul style="list-style-type: none"> Date received Total amount Relationship to investor Letter from donor explaining the reason for the gift and the source of donor's wealth Certified identification documents for donor Donor's source of wealth 	<ul style="list-style-type: none"> Documentary evidence of the donor's source of wealth as detailed in this table
Maturity or surrender of life policy	<ul style="list-style-type: none"> Amount received Policy provider Policy number/reference Date of surrender 	One of the following: <ul style="list-style-type: none"> Closing statement Letter from insurance confirming the payment
Sale/liquidation of investments	<ul style="list-style-type: none"> Description of shares/units/deposit Length of the investment Name of the seller Sale amount Date of liquidation/sale 	One of the following: <ul style="list-style-type: none"> Investment Certificate/Contract Note/statement Bank statement showing the redemption proceeds incoming Signed letter from regulated accountant on headed paper
Sale of property	<ul style="list-style-type: none"> Sold property details Date of sale Total sale amount 	One of the following: <ul style="list-style-type: none"> Letter from solicitor or regulated accountant Copy of the sale contract
Company Sale	<ul style="list-style-type: none"> Name and nature of the company Date of sale Total amount 	<ul style="list-style-type: none"> Letter from solicitor detailing company sale Copy of sale contract and bank statement showing the proceeds Copy of media coverage as supporting evidence (if applicable)
Company profits	<ul style="list-style-type: none"> Name and address of the company Nature of the company Amount of annual profit 	<ul style="list-style-type: none"> Financial statement Copy of the latest audited company accounts containing equivalent transparency as the financial statement Confirmation on the nature of the activity and nature of the client generating the company profit from regulated accountant/appointed auditor (only PwC, KPMG, EY, Deloitte)

Description of Source of Funding	Information Required	Document to Evidence the Source of Wealth (in original or certified true copy)
Inheritance	<ul style="list-style-type: none"> Name of the deceased Date of death Relationship to the investor Date proceeds were received Total amount Solicitor's details 	One of the following: <ul style="list-style-type: none"> Grant of probate Signed letter from solicitor or estate trustee on headed paper Last will
Divorce Settlement	<ul style="list-style-type: none"> Date received Total amount received Name of the divorced partner 	One of the following: <ul style="list-style-type: none"> Copy of court order Letter from solicitor detailing divorce settlement
Retirement Income	<ul style="list-style-type: none"> Retirement date Details of previous occupation Name and address of last (final) employer Detail of pension income source 	One of the following: <ul style="list-style-type: none"> Pension statement Bank statement showing receipt of the pension income Saving accounts statement Letter from the paying institution
Employer Premium	<ul style="list-style-type: none"> Employer letter Country of incorporation 	<ul style="list-style-type: none"> Employer letter on headed paper confirming the amount to be paid Copy of last audited company account
Fixed deposit- saving	<ul style="list-style-type: none"> Name of institution where the savings are held Date of the account establishment Details on how the savings were acquired as per this table 	<ul style="list-style-type: none"> Savings statement Evidence of account opening date (letter from account provider or first statement)
Dividend Payment	<ul style="list-style-type: none"> Date of received of dividends Total amount received Name of the paying company Length of the shares being held 	One of the following: <ul style="list-style-type: none"> Dividend contract note Bank statement clearly showing the income from the paying company Letter detailing dividend details signed by regulated accountant Set of company accounts showing the dividend details.

Please consider documentary evidence to support both your source of funds and independently source of wealth. See explanation provided on page 1.



**APPENDIX 2
COUNTRY LIST -
DOCUMENTARY EVIDENCE OF SOURCE OF FUNDS AND SOURCE OF WEALTH IS REQUIRED**

Afghanistan	Dominican Republic	Mali	Serbia
Albania	Ecuador	Marshall Islands	Sierra Leone
Algeria	Egypt	Mauritania	Solomon Islands
American Samoa	El Salvador	Mexico	Somalia
Angola	Equatorial Guinea	Moldova	South Africa
Anguilla	Eritrea	Monaco	South Sudan
Azerbaijan	Ethiopia	Mongolia	Sri Lanka
Bahamas, The	Fiji	Montenegro	Sudan
Barbados	Gabon	Morocco	Suriname
Belarus	Gambia, The	Mozambique	Tanzania
Belize	Ghana	Nepal	Tajikistan
Benin	Gibraltar	Nicaragua	Timor-Leste
Bolivia	Guam	Niger	Togo
Bosnia & Herzegovina	Guatemala	Niue	Tonga
Burkina Faso	Guinea	Nigeria	Trinidad and Tobago
Burundi	Guinea-Bissau	Pakistan	Tunisia
Cambodia	Guyana	Palau	Turkey
Cameroon	Haiti	Palestinian Territories	Turkmenistan
Cayman Islands	Honduras	Panama	Turks and Caicos Islands
Central African Republic	Iraq	Papua New Guinea	Uganda
Chad	Jamaica	Paraguay	Ukraine
Columbia	Jordan	Peru	United Arab Emirates
Comoros	Kazakhstan	Philippines	Vanuatu
Congo, Democratic Republic of the	Kyrgyzstan	Russia	Venezuela
Congo, Republic of the	Laos	Rwanda	Vietnam
Costa Rica	Lebanon	Saint Kitts and Nevis	Virgin Islands, British
Côte d'Ivoire	Lesotho	Saint Lucia	Virgin Islands, US
Croatia	Liberia	Samoa	Yemen
Cyprus, Turkish Cypriot Administered	Madagascar	Sao Tome and Principe	Zimbabwe
Djibouti	Maldives	Senegal	

August 2023



Tax Reporting - Individual Self-Certification

Instructions for completion

We are obliged under the Tax information Authority Law, the Regulations, and Guidance Notes made pursuant to that Law, and treaties and intergovernmental agreements entered into by this jurisdiction in relation to the automatic exchange of information for tax matters (collectively "AEOI"), to collect certain information about each account holder's tax status. Please complete the sections below as directed and provide any additional information that is requested. Please note that we may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant Regulations, Guidance Notes or international agreements.

If any of the information below regarding your tax residence or AEOI classification changes in the future, please ensure you advise us of these changes promptly. If you have any questions about how to complete this Form, please contact your tax advisor.

Please note that where there are joint account holders each investor is required to complete a separate Self-Certification form.

Section 1: Account Holder Identification

Account Holder Name	Date of Birth (dd/mm/yyyy)	Place and Country of Birth
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Permanent Residence Address:

Number & Street	City / Town
-----------------	-------------

State / Province / County	Post Code / ZIP	Country
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Mailing Address (if different from above):

Number & Street	City / Town
-----------------	-------------

State / Province / County	Post Code / ZIP	Country
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Section 2: Declaration of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick either (a) or (b) or (c) and complete as appropriate.

(a) I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial presence test) and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

(b) I confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.

(c) I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

Complete Section 3 if you have non-U.S. tax residences.

Section 3: Declaration of Tax Residency (other than U.S.)

I hereby confirm that I am, for tax purposes, resident in the following countries (indicate the tax reference number type and number applicable in each country).

Country/countries of tax residency	Tax reference number type	Tax reference number

Please indicate Not Applicable if jurisdiction does not issue, or you are unable to procure, a tax reference number or functional equivalent. If applicable, please specify the reason for non-availability of a tax reference number:

Section 4: Declaration and Undertakings

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so, I hereby consent to the recipient sharing this information with the relevant tax information authorities.

I acknowledge that it is an offence to make a self-certification that is false in a material particular.

Signature: _____

Date: (dd/mm/yyyy) _____
