



The One Investment Application

New business form

Confidential

Absa Investment Management Services (Pty) Ltd is an Authorised Financial Services Provider. All relevant sections must be completed in full. Please indicate all options selected by means of a tick (✓). The investor must initial next to any amendments made on the form.

Please send fully completed instruction to aimsc@absa.co.za

Investment proposal reference number Existing Absa client Yes No Existing Absa Wealth client Yes No

Investor type:

Individual Absa employee Absa Investment Management Services (AIMS) employee Legal entity

Absa employee BRID number

Product:

<input type="checkbox"/> Investment Account R50 000	<input type="checkbox"/> Defined Growth R150 000	<input type="checkbox"/> Defined Income R150 000	<input type="checkbox"/> Defined Growth and Income R150 000
<input type="checkbox"/> Retirement Annuity Fund *R25 000	<input type="checkbox"/> Living Annuity *R75 000	<input type="checkbox"/> Provident Preservation Fund *R25 000	<input type="checkbox"/> Pension Preservation Fund *R25 000
<input type="checkbox"/> Tax-free Savings R5 000	<input type="checkbox"/> Islamic Investment Plan R50 000	<input type="checkbox"/> Linked Endowment R50 000	<input type="checkbox"/> Offshore Investment Account R100 000
<input type="checkbox"/> Structured Product R250 000	<input type="checkbox"/> Cash Invest Tracker R2.5 million		

Instruction type: New business Unit Transfer (Transfer of Unit Trust Fund Form) *Section 37 Transfer *Section 14 Transfer
 Tax-free Savings Transfer

***Please complete the contractual withdrawal form in conjunction with the One Application.**

Individual investor details

Title Initials Surname

First name(s) Date of birth
(dd/mm/ccyy)

Identity/Passport number If passport, state reason Lost ID Stolen ID

Country of origin Country of residence

Language: English Afrikaans **Gender:** Male Female

Marital status: Married Single Divorced Widowed Other If "Other", please specify

Source of funds: Donation Allowance Inheritance Pension
 Other If "Other", please specify

Onboarding channel

Legal entity investor details

Name of registered entity and trading name

Registration number Inception date
(dd/mm/ccyy)

Country of operation Country of registration

Language: English Afrikaans

Investor type: Individual Public company Private company Trust Partnership Sole proprietor
 NPO Provident fund Pension fund Foreign company Other

If "Other", please specify

Countries traded/transactioned with (if applicable)

Onboarding channel

Source of funds: Donation Allowance Inheritance Pension
 Other If "Other", please specify

Industry (SIC code)

Nature of business

Product or service of trade

Address details

Residential/Registered address Postal address

Suburb Suburb

Town/City Postal code Town/City Postal code

Country Country

Trading address (if company)

Town/City Postal code Country

Investor's contact details

Telephone (H) (W)

Cell Fax

Email

Notification preference: Email SMS **Communication preference:** Email Post

Tax details

Income tax number

VAT registration number (if applicable)

Withholding tax and foreign interest Dividend tax
 Tax resident of South Africa Foreign tax resident (please complete Self-certification and Declaration form)

Employment details

Occupational status: Full-time Part-time
 Self-employed Temporarily Other If "Other", please specify

Employment sector/Type of business (if company) Occupation

Monthly gross income R

Source of income: Salary Savings/Investment Policy Maintenance Other
 If "Other", please specify

Related party information

If applicable, please complete all related party information for trustees, trust beneficiaries, shareholders and power of attorney holders.

First name and surname	Relationship	Identity number
A <input type="text"/>	<input type="text"/>	<input type="text"/>
B <input type="text"/>	<input type="text"/>	<input type="text"/>
C <input type="text"/>	<input type="text"/>	<input type="text"/>
D <input type="text"/>	<input type="text"/>	<input type="text"/>
E <input type="text"/>	<input type="text"/>	<input type="text"/>

In respect of "A" the following must be completed

Related party type

Individual Other If "Other", please indicate

Country of origin/operation

Country of residence/registration

In respect of "B" the following must be completed

Related party type

Individual Other If "Other", please indicate

Country of origin/operation

Country of residence/registration

In respect of "C" the following must be completed

Related party type

Individual Other If "Other", please indicate

Country of origin/operation

Country of residence/registration

In respect of "D" the following must be completed

Related party type

Individual Other If "Other", please indicate

Country of origin/operation

Country of residence/registration

In respect of "E" the following must be completed

Related party type

Individual Other If "Other", please indicate

Country of origin/operation

Country of residence/registration

Investor's bank details

Name and surname of accountholder

Name of bank Account number Branch code

Account type: Current Savings Transmission

Investment details

Important note:

- If you select a Wrap Portfolio (Wrap Fund), please make sure you indicate the wrap code of the investment selection.
- It is important that you also send the mandate.
- Investments in a Personal Shared Portfolio ("PSP"), must comply with the fee Money Market draw down (income) component requirements.
- Please ensure that all % allocations add up to 100% in total.
- If a PSP is selected, please also complete the relevant mandate, which is the agreement between the investment portfolio manager and the client.
- PSP minimums depend on the selected investment provider of the PSP consult brochure.

Investment type: Lump sum Recurring Combination

Investment amount

Preferred Financial Services Provider (FSP) review frequency: Annually (default) Quarterly Half-yearly

In the event of my death, should my investment be transferred into the Absa Money Market Fund default into Absa Money Market Fund? Yes No (Retirement Annuity and Preservation Funds)

Distributions

Reinvest (default option) Payout

Fee deduction profile – please indicate with a tick (✓) how fees should be deducted from portfolio.

AIMS distribution fund Pro rata across investment

Important note: Distributions will be reinvested into the same fund that has distributed except for distributions earned on Exchange Traded Funds (ETFs). ETF distributions will be reinvested into the Client Cash Movement Fund.

Phase-in investment

Please note that phase-in does not apply to a PSP portfolio nor does it apply to CIT.

Phase-in

Yes	No
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Commencement of phase-in: Immediate Following month

From	Fund name Absa Money Market Fund	Total amount to be phased in per month
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	Fund code	Fund name	Total amount to be phased in per month
To	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>

Lump sum investment portfolio

If you don't indicate a fund class, we will invest the monies into the Premium Fund Range fund class.

If you are investing in the Structured Product through the Linked Endowment then no other funds or fund clauses may be selected.

Fund code	Fund name	Premium Range (✓)	%
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			100%

Beneficiary for proceeds nomination

This only applies to the Living Annuity, Preservation Funds, Retirement Annuity, Linked Endowment and Defined Outcome.
For Defined Outcome – Income option, only the surviving spouse and/or estate can be appointed.

Defined Growth Linked Endowment

	First name and surname	Relationship	Identity number	% share
A	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
B	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
C	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Country of residence/registration	<input type="text"/>
Country of origin/operation	<input type="text"/>
Country of residence/registration	<input type="text"/>
Country of origin/operation	<input type="text"/>
Country of residence/registration	<input type="text"/>
Country of origin/operation	<input type="text"/>

Defined Income Estate Spouse

First name and surname	Relationship	Identity number	% share
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Country of origin/operation	<input type="text"/>
Country of residence/registration	<input type="text"/>

Life Assured

This only applies to the Linked Endowment and the Defined Growth.

Are you a Life Assured? Yes No

Complete if Life Assured is other than the investor

Life Assured 1

Title	<input type="text"/>	Surname	<input type="text"/>
First name(s)	<input type="text"/>		Initials <input type="text"/>
Identity/Passport number	<input type="text"/>	Nationality	<input type="text"/>
Date of birth (dd/mm/ccyy)	<input type="text"/>	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female

Life Assured 2

Title	<input type="text"/>	Surname	<input type="text"/>
First name(s)	<input type="text"/>		Initials <input type="text"/>
Identity/Passport number	<input type="text"/>	Nationality	<input type="text"/>
Date of birth (dd/mm/ccyy)	<input type="text"/>	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female

Life Assured 3

Title	<input type="text"/>	Surname	<input type="text"/>
First name(s)	<input type="text"/>		Initials <input type="text"/>
Identity/Passport number	<input type="text"/>	Nationality	<input type="text"/>
Date of birth (dd/mm/ccyy)	<input type="text"/>	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female

Financial Services Provider fees and details

Defined Outcome – Growth Policy	<input type="text"/>	%	Income Policy	<input type="text"/>	%			
Lump sum initial advice fee	<input type="text"/>	%	Recurring initial advice fee	<input type="text"/>	%	Annual advice fee	<input type="text"/>	%
Name of Financial Services Provider/brokerage	<input type="text"/>		Financial Services Provider/brokerage code	<input type="text"/>				
Name of representative	<input type="text"/>			Representative code	<input type="text"/>			
Representative reference number (Absa use only)	<input type="text"/>							

Postal address

Town/City Country Postal code

Telephone (W) Fax

Cell Email

Product bank account details

Account name	Bank	Branch code	Account number	Account type
AIMS Nominees RF (Pty) Ltd - Investment Account	Absa Bank	632005	4050 589 636	Cheque
AIMS Nominees RF (Pty) Ltd - Investment Account (Cash Invest Tracker)	Absa Bank	632005	4050 589 636	Cheque
AIMS Nominees RF (Pty) Ltd - Islamic Investment Account	Absa Bank	632005	4092 039 805	Cheque
AIMS Nominees RF (Pty) Ltd – Defined Outcome	Absa Bank	632005	4076 627 656	Cheque
AIMS Nominees RF (Pty) Ltd – Linked Endowment	Absa Bank	632005	4055 231 527	Cheque
AIMS Nominees RF (Pty) Ltd – Linked Endowment – Structured Product	Absa Bank	632005	4055 231 527	Cheque
AIMS Nominees RF (Pty) Ltd - Living Annuity	Absa Bank	632005	4050 589 652	Cheque
Absa Retirement Annuity Fund	Absa Bank	632005	4050 629 884	Cheque
Absa Pension Preservation Fund	Absa Bank	632005	4050 629 656	Cheque
Absa Provident Preservation Fund	Absa Bank	632005	4050 629 567	Cheque
AIMS Nominees RF (Pty) Ltd - Offshore	Absa Bank	632005	4050 855 338	Cheque
AIMS Nominees RF (Pty) Ltd – Tax-free Savings	Absa Bank	632005	4050 589 636	Cheque

Transfers	Beneficiary bank
Euro	Absa Bank Swift: ABSAZAJCWI Beneficiary name: AIMS Nominees Johannesburg Acc: 958132-Euro-1047-01 2001 Branch code: 63 12 05 93
Pound	Absa Bank Swift: ABSAZAJCWI Beneficiary name: AIMS Nominees Johannesburg Acc: 958132-GBP-1047-01 Branch code: 63 12 05 93
Dollar	Absa Bank Swift: ABSAZAJCWI Beneficiary name: AIMS Nominees Johannesburg Acc: 958132-USD-1047-01 2001 Branch code: 63 12 05 93

EFT (Electronic Funds Transfer)

*Deposit reference number

*Please complete the deposit reference field as follows for all payments:

Business submitted via Financial Services Provider

Existing client: AIMS adviser code (8 x digits) of the financial services provider " – " then AIMS client number.

New client: AIMS adviser code (8 x digits) of the financial services provider " – " then client ID number or client initials and surname.

Example: 00012345-19521204000

Business submitted directly by a client

Existing client: 00156304 " – " then AIMS client number.

New client: 00156304 " – " then client ID number or client initials and surname.

Example: 00012345-19521204000

Debit order authority

- I/We hereby request, instruct and authorise AIMS, its successors or its assignees to draw against my/our account with the bank noted above (or any bank or branch to which I/we may transfer my account).
- I/We understand that all such withdrawals from my/our bank account will be treated as though they had been signed by me/us personally.
- I/We agree to pay any bank charges and costs relating to the debit order authority, including debit order rejection fees.
- I/We acknowledge that I/we may cancel this authority by giving AIMS not less than 10 (ten) calendar days' written notice.
- I/We agree that receipt of this instruction by AIMS will be regarded as receipt thereof by my/our bank.
- To activate the debit order, AIMS must receive the application form at least 14 (fourteen) days prior to the first debit order date.
- Debit orders will be cancelled in the event that the debit order rejects. To reactivate the debit order, a new instruction is required.

Signature of bank accountholder _____

Date (dd/mm/ccyy)

Financial Services Provider/representative declaration

- I have read and understood the terms and conditions pertaining to the selected investment
- I warrant that all statements given in the Form are true and correct in every respect
- I acknowledge and certify that I have personally explained to the investor all the features and terms of the product
- I acknowledge that the investor will be screened and profiled by Absa Bank in terms of the legal terms
- I acknowledge that I have personally explained all the fees, charges and commission applicable to this investment to the investor

The Financial Services Provider/representative further declares and confirms in respect of FICA that:

- I have taken all reasonable steps to establish the identity of the investor before entering into a business relationship with the investor or concluding a single transaction with the investor
- I have verified the information of the investor in accordance with the requirements set out in section 21 of FICA
- I have obtained copies of the investor’s identification document and any other verification documentation as required in terms of section 22 of FICA and are keeping record of the required documents after having seen the original documents

Signed at _____ on _____

Financial Services Provider/representative signature

Investor(s) declaration

You, or where applicable, your authorised signatory, hereby state that:

- I acknowledge that I am aware of and understand the fees and commission applicable to this investment.
- I have read and understood the terms and conditions pertaining to the selected investment, including the legal terms.
- I warrant that all statements in the application form are true and correct
- I acknowledge that I will be screened and profiled by Absa Bank in terms of the legal terms

The FSP/representative is appointed by the investor with: *Full discretion *Limited discretion

*If applicable, the limits on the FSP/representative's discretion are as set out in the approved mandate attached to this application form and signed by the investor.

Absa Bank Limited (“Absa”), a member of the Banking Council of South Africa, wishes to inform you that all information regarding your personal and financial matters is treated as strictly confidential. To enable Absa Group Limited to offer you a full range of services and products suited to your needs, we require your consent to utilise your personal information within the Group and to communicate to you on an on-going basis. I agree to notify the relevant Absa Group Limited entity immediately in the event that information on this Tax Self-Certification and Declaration Form changes.

Please tick (✓) the appropriate boxes:

- I/We hereby consent to the above. I/We hereby withhold consent and fully understand the implications and ramifications of my/our decision and will not hold Absa Group responsible for financial advice and offers that I/we have not received.

Signed at _____ on _____

Investor’s signature [or duly authorised person(s) where applicable]

Signature of legal guardian (if applicable)

Submit signed and completed instructions to aimsc@absa.co.za

Information about Absa Investment Management Services (AIMS)

Authorised Financial Services Provider

Registration number: 1980/002425/07

Head office	Postal address	Website	Client Services	Email address	Fax number
4th Floor Towers North 180 Commissioner Street 2001	PO Box 974 Johannesburg 2000	absainvestments.co.za	0860 000 005	New instructions: aimsc@absa.co.za Queries: aimsenquiries@absa.co.za	0861 339 265

AIMS is a financial services provider ("FSP"), authorised in terms of FAIS and is further authorised as an administrative and discretionary FSP. All these details are available on the FSB website if required.

Complaints process

- Please lodge a complaint in writing to AIMS, addressed to our Client Services department, using the addresses set out below.
- The complaint must contain the client details, details of the complaint and any documentary proof, where applicable.
- Upon receipt by AIMS of the above-mentioned information, your complaint will be acknowledged by the AIMS employee that will assist in the resolution of your complaint.
- Where possible, AIMS endeavours to resolve your complaint within 10 (ten) business days of receipt of your complaint, taking into account the nature of the complaint and the product type. You will be contacted if we discover during the course of the investigation that further information or documentation is required. In this event, the conclusion of the matter may take a while longer. If you are not satisfied with the reply, you may refer the matter to the compliance officer of AIMS. In the event that we have been unable to resolve the complaint to your satisfaction within a period of 6 (six) weeks, you may refer the matter, within a further period of 6 (six) months, to The Office of the Ombud for Financial Services Providers. If the complaint is product-related, you may refer the matter, within a further period of 6 (six) months, to The Long-term Insurance Ombud.
- A full record of each complaint received and all subsequent correspondence will be kept on record by AIMS for such periods as prescribed by relevant legislation.
- AIMS should always be given the opportunity to resolve the complaint. However, if you are dissatisfied with the response from AIMS, you may refer your complaint to the Ombudsman or Adjudicator depending on the nature of the complaint, as set out below in more detail.
- Complaints relating to intermediary services provided by AIMS:
Only complaints relating to intermediary services provided by AIMS, as an authorised financial services provider, may be directed to the Financial Advisory and Intermediary Services Ombud ("FAIS Ombud"). The FAIS Ombud acts independently and objectively. Please note that AIMS does not give advice and any complaints relating to advice will not apply to AIMS. In complaints before the FAIS Ombud the complainant and any other party to the complaint are expected to give their fullest co-operation so as to dispose of the complaint within a reasonable time. For these purposes a complainant includes their lawful successor in title or a person nominated as beneficiary in terms of the financial product that is the subject of the relevant complaint.
The Ombudsman for Long-term Insurance can be approached for living annuity and endowment related complaints. The role of the Ombudsman is to ensure that the rights of the client are protected and to mediate in a dispute if required.
- Complaints relating to AIMS/Absa Retirement Annuity, Pension Preservation and Provident Preservation funds ("Retirement funds"); The Pension Funds Adjudicator can be approached for complaints in respect of the retirement funds. The role of the Pension Funds Adjudicator is to ensure that the rights of members are protected and to mediate in a dispute if required.

We have provided the relevant contact details below:

Head office	Postal address	Client Services	Email address	Fax number
Client Services/ Compliance Officer	PO Box 974 Johannesburg 2000	0860 000 005	aimsc@absa.co.za	0861 339 265
The Officer of the Ombud for Financial Services Providers	PO Box 74571 Lynnwood Ridge 0040	0860 FAISOM (0860 324 766)	info@faisombud.co.za	+27 12 348 3447
The Long-term Insurance Ombud	Private Bag X45 Claremont Cape Town 7735	+27 21 657 5000/ 0860 103 236	info@ombud.co.za	+27 21 674 0951
The Pension Funds Adjudicator	PO Box 580 Menlyn 0063	+ 27 12 346 1738/ + 27 12 748 4000	enquiries@pfa.org.za	086 693 7472