

ADDITIONAL UNIT TRUST INVESTMENT – NATURAL PERSON

When you should use this form

This document is intended for existing investors who wish to add a new unit trust fund to their investment portfolio held with us. If you wish instead to deposit funds in an existing fund already held with us, please use the **Unit Trust Deposit (D-1)** form. New investors should use the **New Investor Application (A-1)** form.

Important Information

1. Capricorn Asset Management is the Administrator.
2. Please refer to the **Investment platform fund summary** and the **Investment platform terms and conditions** for all information regarding the Administrators' processes, fees and the funds on offer. These documents are available at any Bank Windhoek branch, your financial advisor, or via our website at www.cam.com.na. For any queries contact our Sales & Channel support at (+264 61) 299 1950 or via email at cam.info@capricorn.com.na.
3. This instruction may be submitted to your financial advisor, handed in at any Bank Windhoek branch, at the offices of the Administrator at 3rd Floor Capricorn Corner, c/o Nelson Mandela and Hofmeyer Street, Klein Windhoek, Windhoek or via email at cam.service@capricorn.com.na.
4. Instructions will only be processed once all fields are duly completed and the required documents and relevant funds have been received.
5. The minimum lump-sum investment for an investor whose total balance exceeds N\$75,000 is N\$10,000. The minimum monthly debit order investment is N\$1,000 per month.

Investor Details

Surname		Client No.	
Full Name(s)			

Unit Trust Investment Details

Fund Name	Income Distribution Option ¹ (Income on Account)	Recurring Instruction Amount ²	Lump Sum Investment
Capricorn Selekt Fund		N\$	N\$
Capricorn Investment Fund		N\$	N\$
Capricorn Corporate Fund		N\$	N\$
Capricorn Corporate Income Fund		N\$	N\$
Capricorn Enhanced Cash Fund		N\$	N\$
Capricorn High Yield Fund		N\$	N\$
Capricorn Stable Fund		N\$	N\$
Capricorn Premier Fund		N\$	N\$
Capricorn Managed Fund		N\$	N\$
Capricorn Bond Fund		N\$	N\$
Capricorn Property Fund		N\$	N\$
Capricorn Equity Fund		N\$	N\$
Capricorn International Fund		N\$	N\$
Capricorn Global High Yield Fund		N\$	N\$
Other			
		N\$	N\$
		N\$	N\$
		N\$	N\$
Total			N\$

Please specify in detail the source/origin of the funds being invested and provide proof of source/origin of funds.

¹Fund distributions are reinvested automatically. For Capricorn Unit Trust funds only, you have the option to either have the distributions paid out to your Nominated Bank Account ("N" in the Income Distribution Option column) or for it to be paid out to any of your existing Capricorn Unit Trust Funds (specify the fund name in the Income Distribution Option column). Leaving the Income Distribution Option column blank will indicate the default reinvestment option.

If you have more than one Nominated Bank Account please indicate to which account the distributions should be paid. (if applicable)			
Name of Bank		Account No	
Branch Name		Branch No	
Account Type (only Cheque/Transaction and Savings accounts – no credit cards)		<input type="checkbox"/> Cheque/Transaction	<input type="checkbox"/> Savings

Recurring Instructions

²Should you want to set up a recurring monthly instruction on a specific fund please indicate the amount in the “Recurring Instruction Amount” and indicate below whether it is a recurring monthly deposit or a recurring monthly withdrawal.

<input type="checkbox"/> Recurring Deposit	<input type="checkbox"/> Recurring Withdrawal
Start Date	End Date
Monthly Instruction Day	Annual Escalation %/N\$

If you have more than one Nominated Bank Account please indicate to/from which account the instructions should be processed (if applicable)

Name of Bank		Account No	
Branch Name		Branch No	
Account Type (only Cheque/Transaction and Savings accounts – no credit cards)		<input type="checkbox"/> Cheque/Transaction	<input type="checkbox"/> Savings

Payment Option

<input type="checkbox"/> Electronic Funds Transfer (EFT) (you transfer to us)	<p>The banking details are available on the following platforms:</p> <ul style="list-style-type: none"> • Capricorn Asset Management website • Capricorn Online • Bank Windhoek Internet Banking Platform <p>Please use your Client and Account number as reference e.g. E12345678A12345.</p> <p>Please email proof of payment to the Administrator at cam.service@capricorn.com.na</p>		
<input type="checkbox"/> Electronic Collection ³ (we collect from you)	<p>The funds will be collected from the Nominated Bank Account limited to a maximum of N\$ 1,000,000 per day from any Bank Account.</p> <p>NOTE: A 3-day hold on funds collected is applied before any withdrawals will be processed.</p>		
<input type="checkbox"/> From Unit Trust Fund	Fund Name	Acc nr	
	<input type="checkbox"/> Close the above fund and transfer all units	<input type="checkbox"/> Transfer only the amount indicated above	

³Should the **Electronic Collection** option be selected, please indicate your **Nominated Bank Account** details below to ensure correct processing of Electronic Collection. Should you wish to have the funds collected from another account (which is not your Nominated Bank Account) then this form needs to be accompanied by the **Change of Detail A-2** Form.

Name of Bank		Account No	
Branch Name		Branch No	
Account Type (only Cheque/Transaction and Savings accounts – no credit cards)		<input type="checkbox"/> Cheque/Transaction	<input type="checkbox"/> Savings

Product Information

<input type="checkbox"/> I have completed the Risk Assessment as provided by the Administrator and thus my investment is based on my particular risk Tolerance, risk capacity and risk required to take on risk. I hereby accept that if there are any life changes they may have an effect on my investment goals and portfolio and I need to reassess my investment portfolio.
<input type="checkbox"/> I declare that I did not complete the Risk Assessment as provided by the Administrator and thus my investment option is not based on my particular risk tolerance, risk capacity and risk required to take on risk.
<input type="checkbox"/> I declare that I choose not to receive any product advice in my decision to invest and as a result no advisory fees are payable on my investment.

Financial Advisor and Fee Details

<input type="checkbox"/> I hereby confirm that the person or firm, whose details are completed below, is my appointed financial advisor and I agree to pay the fees indicated below on my investments until otherwise specified (please complete the section below). This authorisation includes rebalancing my portfolio, switching between different portfolios, changing income levels, effecting additional investments on my portfolio and repurchasing on my behalf into my bank account. No 3rd party payments will be allowed.			
Should the existing Financial Advisor agreement be applied? If no advice has been provided or taken, leave both boxes unchecked.	<input type="checkbox"/> Yes	<input type="checkbox"/> No ⁴	Please complete below section. This will supersede all previous arrangements.
⁴ Financial Advisor Name		Advisor Code	
Practice / Company Name			
Initial Advice Fee (Once Off Fee)	%	Negotiable to a maximum of 2%, applicable to each contribution and deducted before an investment is made.	

Recurring Advice Fee	%	Negotiable to a maximum of 2% of the investment portfolio market value. The fee is charged proportionally, monthly in arrears.		
	The Recurring Advice Fee selected above should be deducted from the Investor's investment portfolio as follows:			
	<input type="checkbox"/> Highest valued Fund	<input type="checkbox"/> Proportional from all Funds	<input type="checkbox"/> Other Fund (please specify)	

Discretionary Mandate Declaration Viewing/Information mandate only Transaction Rights (Full mandate) (sign below)⁵

⁵I authorise the Financial Advisor, whose name appears above, to give instructions to the Administrator, and I authorise the Administrator to accept and execute all instructions, except change in banking details, so submitted by the Financial Advisor on my behalf. I further acknowledge that all terms and conditions accepted by my Financial Advisor will be deemed accepted by myself, and that I will be bound by all such terms and conditions.

Signature of Investor _____

Financial Advisor Declaration:

- I have properly explained all the relevant investment risks to the investor.
- I have disclosed and explained all fees and commissions payable by the investor that relate to this investment.
- I have identified all applicable parties to this transaction and verified their details under the requirements of the Financial Intelligence Act of 2012.
- I declare and warrant that I am duly authorised to render financial services.

Signature of Financial Advisor _____

Investor Declaration

- By my signature to this application form I acknowledge that I have been made aware of, understand and accept –
 - That all previous declarations made by me as well as the latest Capricorn investment platform terms and conditions and Bank Windhoek Application End-User Licence Agreement (the "Terms") will remain binding upon me;
 - That the Administrator has the right, without prior notice to me, to change, modify, add to or remove from portions or the whole of the Terms from time to time. Changes to the Terms will become effective upon such changes being posted to the Website.

Signature of Investor/Financial Advisor _____ **Date** _____

For Bank Windhoek Branches/Broker House/CPW/CAM Official Use Only:									
(Please email to cam.service@capricorn.com.na and send the original to the Administrator's Office)									
I the undersigned confirm that I have identified & verified the investor.					To be completed by Bank Windhoek Branch/ Financial Advisor/ CAM Official/ CPW Official				
Bank Windhoek Branch / Broker House									
Bank Windhoek Official Name / Advisor Name / CAM Official Name									
Employee no/ Broker Code									
Contact Number									
Signature of Bank Windhoek Official / Advisor / CAM Official									
Segment (UTSARBTYP)	<input type="checkbox"/> Digital	<input type="checkbox"/> Retail	<input type="checkbox"/> CPW	<input type="checkbox"/> CAM wealth	<input type="checkbox"/> IFA	<input type="checkbox"/> Business	<input type="checkbox"/> Corporate	<input type="checkbox"/> Institutional	