

## CAPRICORN INVESTMENT PLATFORM LOGIN REGISTRATION FORM – LEGAL ENTITY

### When you should use this form

This form is only used should an existing Legal Entity investor want to register users or amend users already registered for the Capricorn Online Login to have **full access** that includes viewing balances, full transactional capability and generating statements on their investments.

### Important Information

1. The investment platform allows investors easy access to a range of investments. Capricorn Asset Management is the Administrator of the investment platform.
2. This form may be submitted to your financial advisor, at any Bank Windhoek branch or at the offices of the Administrators' at 4th Floor Capricorn House, 119 Independence Avenue, Windhoek.
3. Upon verification by the Administrator, client will receive an email to complete the registration process.
4. The cut-off time for all web transactions is 12:00. All transactions received after this cut-off time will be processed on the next business day.
5. Please note **"Investor Declaration"** on this form, which declarations you will be deemed to have made upon signing this form.

### Investor Details

Legal Entity Name	Client No.	
	Reg. Nr.	

### Complete the below information of the individual(s) who will access the Legal Entity's Online Login

Name & Surname		ID Nr/ Passport	
Email		Cell nr	
<input type="checkbox"/> Viewing/Information mandate only	<input type="checkbox"/> Transaction Rights (Full mandate)	<input type="checkbox"/> Remove user	
Name & Surname		ID Nr/ Passport	
Email		Cell nr	
<input type="checkbox"/> Viewing/Information mandate only	<input type="checkbox"/> Transaction Rights (Full mandate)	<input type="checkbox"/> Remove user	
Name & Surname		ID Nr/ Passport	
Email		Cell nr	
<input type="checkbox"/> Viewing/Information mandate only	<input type="checkbox"/> Transaction Rights (Full mandate)	<input type="checkbox"/> Remove user	

**Note: Upon signing up for the investment platform login, you will no longer receive any statements via post. All statements will be generated and available on the investment platform. Please indicate whether you want to receive your monthly statement via email.**

<input type="checkbox"/> Send monthly statements via email	<input type="checkbox"/> Do not send monthly statements via email, I will view it on the investment platform.
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### Financial Advisor (if applicable)

Financial Advisor Name		Advisor Code	
Practice/Company Name			
<input type="checkbox"/> Viewing/Information mandate only	<input type="checkbox"/> Transaction Rights (Full mandate)	<input type="checkbox"/> Remove user	

### Investor Declaration

- I have expressly requested Capricorn Asset Management ("CAM") to accept instructions from me and/or to act according to instructions conveyed by me to CAM by means of the Capricorn investment platform login.
- I acknowledge that instructions/documents transmitted by e-mail message, from my above electronic mail address or on the Capricorn investment platform login:
  - may be fraudulently initiated;
  - may be tampered with prior to being transmitted and during transmission;
  - may be corrupted prior to being transmitted and during transmission;
  - may be fraudulently amended/varied/alterd by persons other than the author or originator thereof;
  - may not, for whatever reason/s, actually be received by CAM and not receive the necessary attention with the result that delays may occur and/or the instruction may not be carried out in its entirety.
- I, accept further, in view of the acknowledgements made above, that CAM exposes itself to considerable risks when accepting instructions/documents transmitted by the Capricorn investment platform login and is thus desirous of being indemnified in the event that:
  - an instruction transmitted from me to CAM is not executed in accordance with my express intention due to, inter alia and including but not limited to, the happening of an occurrence referred to above; or
  - a document transmitted from me to CAM containing personal/confidential information comes into the possession of or is read by a person/s who is not entitled to be in possession of or to read such document.
  - the Administrator cannot verify the authenticity of a transaction sent via the Capricorn investment platform login and shall hold the Administrator harmless for the execution of such a transaction regardless of whether initiated by the Investor or not.

- I, irrevocably undertake and warrant that I will not make any demand, claim, institute any action or proceeding against CAM should I incur any damage, loss, costs and/or expenses, arising out of or in connection with my election to use the Capricorn investment platform login in my dealings with CAM, including but not limited to, an occurrence referred to above, and/or CAM acting or failing to act upon the conveyance/transmittal of instructions via the Capricorn investment platform login to CAM and to receive confidential information from CAM via the Capricorn investment platform login.
- I further expressly authorise CAM to affect any transaction initiated by means of the Capricorn investment platform login to or from my Nominated Bank account(s) and do hereby indemnify and hold CAM, its officers, agents and employees ("the Indemnified Parties") harmless against all claims, loss, demands, liability, actions, proceedings, costs and expenses of whatsoever nature (including the costs incurred in defending or contesting any such claim) which may be made or instituted against any of the Indemnified Parties (other than due to such Indemnified Party's gross negligence or wilful misconduct) and arising out of or in connection with my election to use the Capricorn investment platform login in my dealings with CAM, including but not limited to, an occurrence referred to above, and/or CAM acting or failing to act upon the conveyance/transmittal of instructions/documents to or from CAM.
- I, hereby acknowledge that it is not practical or reasonable for CAM to establish the authenticity of every message or instruction received by it via the Capricorn investment platform login, which purports to emanate from me.
- I agree that all instructions or commitments and the like which purport to emanate from me via the Capricorn investment platform login shall be deemed to have been given by me in the form actually received by CAM ("the Purported Communication") and that such Purported Communication may, as a result of being fraudulently initiated, the malfunction of equipment, the distortion of communication links and the like, be different to that intended or sent and that the investor shall be bound thereby;
- I agree that I may have to implement and adhere to any procedures and/or restrictions imposed on me by CAM from time to time regarding the use of the Capricorn investment platform login;
- I realize that all instructions sent via the Capricorn investment platform login may generally take up to 5 (five) business days to be processed and are subject to the general terms and conditions of each fund and that of the investment platform. CAM shall not be held liable for any change in market conditions and/or unit values during this time.
- I agree that this indemnity will not be affected by any failure by CAM to impose any procedures or restrictions or to ensure that any, or all of them are adhered to; and
- I agree that CAM will not be obliged to act on any Purported Communication.
- I have read, understood and accept the contents of this agreement. Together with the terms and conditions as contained in this annexure, I have read, understood and accept the Capricorn investment platform fund summary, the Capricorn investment platform general terms & conditions and acknowledge that the terms and conditions as set out therein is specifically incorporated herein and may change from time to time. I have been given the opportunity to discuss its implications with CAM.
- I have read, understood and accept the Capricorn Online Terms & Conditions of CAM's product offering and digital service delivery at, [www.cam.com.na](http://www.cam.com.na) that may change from time to time.

IMPORTANT: No change in the investor's detail shall be accepted via electronic means. Please see **Change in Investor Details** form for more information.

Signature of Duly Authorised Signatory(ies) \_\_\_\_\_ Signed at \_\_\_\_\_ Date \_\_\_\_\_

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Signature of Duly Authorised Signatory(ies) \_\_\_\_\_ Signed at \_\_\_\_\_ Date \_\_\_\_\_

Signature of Financial Advisor \_\_\_\_\_ Signed at \_\_\_\_\_ Date \_\_\_\_\_

For Bank Windhoek Branches/Broker House/CPW/CAM Official Use Only: (Please fax to 061-299 1959 or email to <a href="mailto:cam.service@capricorn.com.na">cam.service@capricorn.com.na</a> )		
I the undersigned confirm that I have identified & verified the investor.	To be completed by Bank Windhoek Branch / Financial Advisor	To be completed by Capricorn Asset Management Administration Department
Bank Windhoek Branch / Broker House		n.a.
Bank Windhoek Official Name / Advisor Name / CAM Official Name		
Employee no/ Broker Code		n.a.
Contact Number		n.a.
FIA checked by		
Signature of Bank Windhoek Official / Advisor / CAM Official		
<input type="checkbox"/> Allow E-Trade switched on	<input type="checkbox"/> Account Purpose Type switched on	<input type="checkbox"/> Capricorn Online Login