Capricorn Asset Management
a member of Capricorn Group

D-1
v2024.02

UNIT TRUST DEPOSIT – NATURAL PERSON

When you should use this form

This document is intended for existing investors who wish to deposit funds into existing unit trust funds on the investment platform. Existing investors who wish to deposit funds into a new unit trust fund should make use of the **Additional Unit Trust Investment (B-1)** form.

Important Information

1. 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.
2. 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 to cam.service@capricorn.com.na
3. Instructions will only be processed once all fields are duly completed and the required documents and relevant funds have been received.
4. The Minimum deposit amount is N$1,000.

Investor Details

Surname		Client No.	
Full Name(s)			

Unit Trust Deposit Details

Fund Name	**Acc #**	**Lump Sum Deposit**
		N$
		N$
		N$
Total		**N$**
For future dated deposits, enter the effective deposit date (Leave blank for next business day)		
Please specify in detail the source/origin of the funds being invested and provide proof of source/origin of funds. **See Annexure A**		

Payment Option

☐ Electronic Funds Transfer (EFT) (you transfer to us)	The banking details are available on the following platforms: • Capricorn Asset Management website • Capricorn Online • Bank Windhoek Internet Banking Platform Please use your Client and Account number as reference e.g. E12345678A12345. Please email proof of payment to the Administrator at cam.service@capricorn.com.na
☐ Electronic Collection[1] (we collect from you)	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. **NOTE:** A 3-day hold on funds collected is applied before any withdrawals will be processed.

[1]Please indicate your **Nominated Bank Account** details below to ensure the correct processing of EFT. Should you wish to have the funds collected from an account other than your Nominated Bank Account, please also submit a "Change in Investor details" Form.

Name of Bank		Account No	
Branch Name		Branch No	
Account Type (only Cheque/Transaction and Savings accounts – no credit cards)		☐ Cheque/Transaction	☐ Savings

Financial Advisor and Fee Details (if applicable)

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.	

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 requirement 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 (compulsory)

- 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	

Annexure A: Source of Funds

Important Information

1. In the absence of any of the below documentary proof or agreements, an Affidavit needs to be provided.
2. All documents need to be in the Namibian official language, namely English, should it be in any other language an official sworn translated document needs to be provided.
3. **"Source of Funds"** means the origin of the funds involved in a business relationship or a single transaction. It includes both the activity that generated the funds used in the business relationship (i.e. the investor's salary, occupation, business activities, proceeds of sale, corporate dividends, inheritance, savings etc.), as well as the means through which the investor's funds were transferred to Capricorn Asset Management obo Clients account.

Source of Funds type	Documentary Proof Requirements
Savings	• Statement of savings account reflecting the accumulated savings. The savings history on the bank statement should reflect at least three months data. If the amount was transferred from another bank account less than three months ago, the client must also submit a statement for the bank account from which the funds were transferred.
Salary/Bonus/Income	• A salary/bonus/income slip not older than three months or a letter from the client's employer confirming the payment.
Investments	• For Namibian and South African banking payments, a statement or letter confirming an investment which is not older than three months or a statement that reflects the disinvestment with proof of payment into the investor's bank account. • International banking payments from other financial services providers, a statement showing the value and a bank statement reflecting proof of payment into the investor's bank account are required.
Sale of a property or asset	• **Property sold** o Copy of the sales contract/ transfer letter from the transfer agent (lawyer/conveyancer). o If the property is in the name of a third party (e.g. a trust or a company), the third party must provide a resolution confirming that the amount in question was paid to the investor and why the amount was paid to the investor. • **Sale of an asset** o Sales agreement or an affidavit confirming the sale of the asset.
Company Sale/ Shares sold	• Copy of the company's sales agreement. • Copy of the company's shares sales agreement. • Copy of the Contract Note (if listed shares).
Company Profits/ Business Income	• Copy of the company's latest audited financial statements or latest management accounts.
Inheritance, gift or donation	• **Inheritance** o Extract from the will/testament or copy of the distribution account or confirmation from the life insurance provider e.g. Old Mutual /Sanlam/Momentum. • **Gift or Donation** o If the gift or donation was made by a living person, a donation letter signed by the donor explaining the nature of the donation and proof of payment made by the donor.
Trust donor	• A declaration by trust donor and a copy of proof of payment of the donation amount to the investor.
Winnings	• A copy of the ticket/slip/receipt indicating winnings and date of winnings. • A bank statement indicating the amount won if the amount was deposited into a bank account.
Employers Pension Fund	• A copy of the letter/statement from employer's pension fund indicating amount due and payable to the investor.
Retirement Annuity	• A copy of the letter/statement from the retirement fund indicating the amount due and payable to the investor.
Preservation Fund	• A copy of the letter/statement preservation fund indicating the amount due and payable to the investor.
Passive income	• **Rental** o Copy of property rental agreements. • **Dividends** o Share certificates or a dividend distribution letter signed by the company secretary/director.
Insurance Payments	• A copy of the letter on the insurer's letterhead indicating a valid insurance claim and amount due and payable to the investor. • A copy of a bank statement indicating receipt of insurance payment.
Child/Spousal Support Payments	• A copy of the court order for the support payment and bank statements reflecting payments.
Tax Refund	• A copy of the current tax return certificate reflecting tax refund, less than 12 months old.
Loan Repayment	• A copy of the loan agreement. In the absence of a formal loan agreement the client should provide an affidavit.
Other Third Party	• Other third-party source with details on third-party source of wealth and funds.
Other	• Relevant official documentation evidencing the source of wealth and funds.