Capricorn Asset Management
a member of Capricorn Group

ADDITIONAL UNIT TRUST INVESTMENT – LEGAL ENTITY

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-3)** form. New investors should use the **New Investor Application (A-3)** 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

Legal Entity Name		Client No.	

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 Funds			
		N$	N$
		N$	N$
		N$	N$
		N$	N$
Total			**N$** 0.00
Please specify in detail the source/origin of the funds being invested and provide proof of source/origin of funds.			

[1]Fund 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)		☐ Cheque/Transaction	☐ Savings

Recurring Instructions

[2]Should 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.			
☐ Recurring Deposit		☐ 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)		☐ Cheque/Transaction	☐ Savings

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[3] (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.	
☐ From Unit Trust Fund	Fund Name	
	☐ Close the above fund and transfer all units	☐ Transfer only the amount indicated above

[3]Should 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-4** 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

☐ I declare that I choose not to receive any financial advice in my decision to invest and as a result no advisory fees are payable on my investment.

☐ I hereby confirm that the person or firm, whose details are completed above, 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.	☐ Yes	☐ 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.	

Recurring Advice Fee continued	The Recurring Advice Fee selected above should be deducted from the Investor's investment portfolio as follows:			
	☐ Highest valued Fund	☐ Proportional from all Funds	☐ Other Fund (please specify)	
Discretionary Mandate Declaration	☐ Viewing/Information mandate only		☐ Transaction Rights (Full mandate) (sign below)[5]	

[5]I 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 Duly Authorised Signatory(ies)____

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 as amended from time to time.
- I declare and warrant that I am duly authorised to render financial services.

Signature of Financial Advisor____

Investor Declaration

- I confirm that I have the capacity and authority to give and submit this instruction to the Administrator.
- 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 Duly Authorised Signatory(ies)/Financial Advisor __________________________ **Date** ______________

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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 (UTSARBTYPE)	☐ Digital	☐ Retail	☐ CPW	☐ CAM wealth	☐ IFA	☐ Business	☐ Corporate	☐ Institutional