

# Namibia Unit Trust Controlling Persons Annexure

MandG Investments Unit Trusts (Namibia) Ltd (Registration Number: 2007/609) (the Manager) is an approved unit trust Management Company and a subsidiary of MandG Investments (Namibia) (Pty) Ltd (Registration Number: 1996/185) (M&G Namibia), who performs the asset management for the Manager.

## Our contact details

**Telephone:** +264 61 259 223

**Email:** [instructionnam@mymandg.co.za](mailto:instructionnam@mymandg.co.za)

**Web:** [www.mandg.co.za](http://www.mandg.co.za)

**Postal address:**

PO Box 25743

Windhoek, Namibia

**Physical address:**

6 Feld Street

Windhoek, Namibia

## How to complete this form

- To be completed by an individual authorised to act on behalf of the entity.
- Please indicate and sign the appropriate declaration under **Section 4**.
- Information written outside of the relevant fields in this form will not be considered when processing your application.

## Document checklist

- This completed, signed and dated form
- All controlling persons to supply certified copies of their ID/passport
- Documentation supporting the applicable changes requested\*

\* Please refer to the Financial Intelligence Act (FIA) and Supporting Documentation Annexure

## What happens next

- Please e-mail a copy of this completed and signed form (pages 2-6) accompanied by the supporting documentation referred to above to [instructionnam@mymandg.co.za](mailto:instructionnam@mymandg.co.za). We reserve the right to request additional documents, if required.
- Processing can only happen once all the necessary documents have been received. Failure to do so will cause a delay in your funds being invested.

## Important information

- **Daily cut-off times:** 09:00 (Namibian time) for M&G Namibian Money Market Fund  
12:30 (Namibian time) for all other investment options

## 1 Existing investor details

Existing M&G investor number

Entity name  
(e.g. company or trust name)

## 2 Contact details to be changed (if applicable)

### Details of contact person at entity

Please note all correspondence (statements, notifications) will be sent to the contact person listed below.

Title  First name(s)

Surname  Gender M  F

Capacity

ID number (Passport number if foreign national)  Passport expiry date

Country/Area code

Number

Country/Area code

Number

Telephone +  /   Cellphone\* +  -

Email address\*

\*If you have appointed a Financial Adviser on this investment, they may have the ability to submit instructions on your behalf via the Manager's secure online platform. Notification of these instructions submitted by your Financial Adviser will be sent to this cell phone number and email address for approval before being processed. It is your responsibility to ensure that this cellphone number and email address is your own and that it is not accessible by others.

## 3 Controlling persons to be added/removed

### Self-certification for Controlling Persons (All information is mandatory for Controlling Persons)

FIA requires us to collect information about each Controlling Person.

Please supply a certified copy of each controlling person's (associated with the entity) ID or passport. Please also provide us with a specimen signature for those authorised to transact on behalf of the entity. If you require more information refer to Appendix 1 at the back of this application form:

#### Controlling person 1 and/or Authorised representative

Controlling person to be added or removed? Added  Removed\*  (\*if removing only complete the necessary details)

Full name and surname\*

ID/Passport number\*  Date of birth\*

Capacity\* Managing Director  Member  Partner  Natural person (beneficial owner) holding 20% or more of the voting rights

Trustee, beneficiary and/or founder of trust  Other Persons exercising control  Authorised representative (e.g. power of attorney)

Address

Nationality  Country of citizenship

#### Politically Exposed Person (PEP) Declarations

Please complete the below section. If you require more information refer to Appendix 1 at the back of this application form:

Are you a Domestic PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Foreign PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you an International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Family Member or known close associate of a PEP, Foreign PEP or International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

**Controlling person 2 and/or Authorised representative**

Controlling person to be added or removed? Added  Removed\*  (\*if removing only complete the necessary details)

Full name and surname\*

ID/Passport number\*  Date of birth\*

Capacity\* Managing Director  Member  Partner  Natural person (beneficial owner) holding 20% or more of the voting rights

Trustee, beneficiary and/or founder of trust  Other Persons exercising control  Authorised representative (e.g. power of attorney)

Address

Nationality  Country of citizenship

**Politically Exposed Person (PEP) Declarations**

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Are you a Domestic PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

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Are you an International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Family Member or known close associate of a PEP, Foreign PEP or International organistaion PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

**Controlling person 3 and/or Authorised representative**

Controlling person to be added or removed? Added  Removed\*  (\*if removing only complete the necessary details)

Full name and surname\*

ID/Passport number\*  Date of birth\*

Capacity\* Managing Director  Member  Partner  Natural person (beneficial owner) holding 20% or more of the voting rights

Trustee, beneficiary and/or founder of trust  Other Persons exercising control  Authorised representative (e.g. power of attorney)

Address

Nationality  Country of citizenship

**Politically Exposed Person (PEP) Declarations**

Please complete the below section. If you require more information refer to **Appendix 1** at the back of this application form:

Are you a Domestic PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

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Are you an International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Family Member or known close associate of a PEP, Foreign PEP or International organistaion PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

**Controlling person 4 and/or Authorised representative**

Controlling person to be added or removed? Added  Removed\*  (\*if removing only complete the necessary details)

Full name and surname\*

ID/Passport number\*  Date of birth\*

Capacity\* Managing Director  Member  Partner  Natural person (beneficial owner) holding 20% or more of the voting rights

Trustee, beneficiary and/or founder of trust  Other Persons exercising control  Authorised representative (e.g. power of attorney)

Address

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Are you an International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Family Member or known close associate of a PEP, Foreign PEP or International organistaion PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

**Controlling person 5 and/or Authorised representative**

Controlling person to be added or removed? Added  Removed\*  (\*if removing only complete the necessary details)

Full name and surname\*

ID/Passport number\*  Date of birth\*

Capacity\* Managing Director  Member  Partner  Natural person (beneficial owner) holding 20% or more of the voting rights

Trustee, beneficiary and/or founder of trust  Other Persons exercising control  Authorised representative (e.g. power of attorney)

Address

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Are you a Foreign PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you an International organisation PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

Are you a Family Member or known close associate of a PEP, Foreign PEP or International organistaion PEP as defined in Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended? Yes  No

## 4 Investor Declaration

### By signing this form, you confirm that:

- The Manager has:
  - Provided you with sufficient business information, confirmation of the required management company license and confirmation of the areas of financial service that it is licensed to offer.
  - Not done any financial or investment analysis for you. There is the risk that your chosen investment portfolio or fund may not be entirely appropriate for your circumstances.
- You understand that:
  - It is your responsibility to carefully consider on your own, or by seeking advice from an Independent Financial Adviser should you choose to do so, whether your chosen fund's benchmark and terms and conditions are appropriate for your objectives, financial situation and particular needs.
  - The market value of your investment will fluctuate in line with the market values of the underlying securities of the funds. The investment is subject to any volatility in the underlying markets, including exchange rate fluctuations.
  - This application, together with the main trust deed, supplemental trust deed, fund fact sheets and/or Minimum Disclosure Document of your chosen unit trust fund/s constitute the entire agreement between you and the Manager.
- The source of any investment amount has been declared and any other aspect of a transaction relating to this investment complies with the Financial Intelligence Act 13 of 2012 (FIA).
- Submissions made are in accordance with the provisions of the Income Tax Act 24 of 1981 (where applicable), and in accordance with the provisions of the international tax treaties whereby:
  - The information you provide in this form, including but not limited to your tax residency, is to the best of your knowledge and belief, accurate and complete; and
  - You undertake to forthwith inform M&G Namibia in writing should the circumstances referred to in this declaration change including in changes in tax residency or FATCA classification.
- You are acting for your own account and you have made your own independent decision to enter into this investment.
- You are not relying on any communication from the Manager – whether written, oral or implied – as investment advice or as a recommendation to enter into the investment. You are not considering the information and explanations relating to the terms and conditions of an investment as investment advice or a recommendation.
- You have received no assurance or guarantee from the Manager regarding the expected returns of the investment.
- The information in this form is true and correct. All material facts must be accurately disclosed. You are responsible for the accuracy and completeness of all answers, statements or other information provided on your behalf.
- Where this application is signed in a representative capacity, you have the necessary authority to do so, and this transaction is within your power.
- Information relating to your account (including duplicate statements, valuations and other information that may be required from time to time) may be released to you or to the Financial Adviser indicated in this application (if applicable) either when requested by the Financial Adviser or directly via the Financial Adviser's access to the Manager's secure online platform.
- You have received the following information from either the Manager or your Financial Adviser and have read it:
  - The most recent version of the terms and conditions of this investment available on our website ([www.mandg.co.za/personal-investor/terms-and-conditions/](http://www.mandg.co.za/personal-investor/terms-and-conditions/))
  - The Fund Fact Sheet/s or Minimum disclosure document/s (MDD) of your chosen unit trust funds
  - The risk warning (below)
- If you have appointed a Financial Adviser in respect of your investment with the Manager, you hereby acknowledge and agree that by appointing such Financial Adviser, you instruct and authorise the Manager to act on instructions received from your Financial Adviser and his/her office either via e-mail, in writing or via the Manager's secure online platform;
- If you have appointed a Financial Adviser in respect of your investment with the Manager, you hereby confirm that you have concluded a written agreement appointing your Financial Adviser, which agreement remains in force;
- If you have appointed a Financial Adviser in respect of your investment with the Manager, you hereby indemnify the Manager and M&G Namibia against any direct or indirect claims (including claims for consequential damages) which may be made against the Manager and M&G Namibia in respect of loss or damage which may result from the Manager acting on any instructions submitted to the Manager by yourself or via your Financial Adviser and his/her office. This indemnity does not extend to any claims in respect of loss or damage which results from any negligence or wilful errors or omissions committed by the Manager.
- You hereby acknowledge and confirm that in the event that you are a victim of a cybercrime (e.g. hacked, phished, pharmed, identity theft scams, malware, spoofed, keylogging, sniffing, invasion of privacy etc.) committed by a third party and an instruction is given to the Manager in your name, whether or not authorised or known by you, the Manager and M&G Namibia will not be responsible for any loss or damage which may result from the Manager following such instruction and you hereby indemnify the Manager and M&G Namibia against all direct or indirect claims (including claims for consequential damages) which may be made against the Manager and M&G Namibia in this regard.
- You hereby consent to the Manager processing your personal information as described in the terms and conditions set out below.
- You have read and accept the Terms & Conditions contained in section 10 of this form and also the most recent version of the terms and conditions of this investment available on our website ([www.mandg.co.za/personal-investor/terms-and-conditions/](http://www.mandg.co.za/personal-investor/terms-and-conditions/)).

### Instruction in respect of adviser fees

If you have appointed a Financial Adviser in respect of your investment with the Manager, by signing this form, you hereby authorize and instruct the Manager to pay the ongoing adviser fee (as indicated in Section 8) in respect of the M&G Namibia Funds (indicated in Section 8) which you are investing in via the regular repurchase of your units to the extent required to settle the ongoing adviser fee on your behalf. By signing this form, you hereby authorize and instruct the Manager to pay the initial adviser fee (indicated in Section 8) in respect of the M&G Namibia Funds (indicated in Section 8) which you are investing in via the repurchase of your units to the extent required to settle the initial adviser fee on your behalf.

**Risk warning**

Collective Investment Schemes (unit trusts) are generally medium-to long-term investments. Past performance is not necessarily a guide to future investment performance. Unit trust prices are calculated on a net asset value basis. This means the price is the total net market value of all assets of the unit trust fund divided by the total number of units of the fund. Any market movements – for example in share prices, bond prices, money market prices or currency fluctuations - relevant to the underlying assets of the fund may cause the value of the underlying assets to go up or down. As a result, the price of your units may go up or down. Unit trusts are traded at the ruling forward price of the day, meaning that transactions are processed during the day before you or the Manager know what the price at the end of the day will be. The price and therefore the number of units involved in the transaction are only known on the following day. The unit trust fund may borrow up to 10% of the fund value, and it may also lend any scrip (proof of ownership of an investment instrument) that it holds to earn additional income. A M&G unit trust fund may consist of different fund classes that are subject to different fees and charges. The Manager will pay your Financial Adviser a standard ongoing adviser fee, which is included in the overall costs of the fund. A Collective Investment Schemes (CIS) summary with all fees and maximum initial and ongoing adviser fees is available on our website. The Manager may, at its discretion, close your chosen unit trust fund to new investors and to additional investments by existing investors to make sure that it is managed in accordance with its mandate. It may also stop your existing debit order investment. The Manager makes no guarantees as to the capital invested in the fund or the returns of the fund. Excessive withdrawals from the fund may place the fund under liquidity pressure and, in such circumstances, a process of ring fencing withdrawal instructions and managed pay outs over time may be followed. A money market fund is not a bank deposit account and The M&G Namibian Money Market Fund aims to maintain a constant price of 100 cents per unit. Foreign securities including foreign CIS funds may be included in unit trusts. As a result, those unit trusts may face material risks. The volatility of the fund may be higher and the liquidity of the underlying securities may be restricted due to relative market sizes and market conditions. The fund's ability to settle securities and to repatriate investment income, capital or the proceeds of sales of securities may be adversely affected for multiple reasons including market conditions, macro-economic and political circumstances. Further, the return on the security may be affected (positively or negatively) by the difference in tax regimes between the domestic and foreign tax jurisdictions. The availability of market information and information on any underlying sub-funds may be delayed. The investor acknowledges the inherent risk associated with the selected fund and that there are no guarantees. The Manager is a member of the Association of Unit Trusts in Namibia.

Full name of investor or person authorised to sign on behalf of investor

Capacity

Signature of investor or person authorised to sign on behalf of investor

Place

Date

D	D	M	M	C	C	Y	Y
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## Appendix 1

### Controlling Persons

The term "Controlling Persons:"

- (i) for Company - means Managing Director; any natural person holding 20% or more interest in such Company; any other natural person/company official exercising control over such Company;
- (ii) for Close Corporation - each and every member; any other natural person exercising control over such Close Corporation;
- (iii) for Partnership - each and every partner; any other person exercising control over the Partnership; and
- (iv) for Trust - each and every Trustee; each and every named beneficiary; the settlor; any other natural person exercising control over the Trust.

The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

### Control

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 20%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

### Politically Exposed Person's (PEP) Definition

In terms of Guidance Note 1 of 2019 read with section 23 of the Financial Intelligence Act, 2012 (Act No. 13 of 2012) as amended (hereinafter referred to as the FIA) and read with Regulations 6, 12 and 15 of the FIA, a PEP or a politically exposed person, means "persons in prominent public positions or functions" including persons who previously occupied prominent public positions but have since vacated such positions or functions.

The above can be simplified to include the following:

- a) heads of state, heads of government, ministers and deputy, assistant ministers or senior politicians;
  - b) members of parliament or of similar legislative bodies;
  - c) members of the governing bodies of political parties;
  - d) significant or important political party officials;
  - e) Local and Regional Authority Councillors
  - f) senior executives of state-owned corporations;
  - g) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
  - h) members of courts of auditors or of the boards of central banks;
  - i) ambassadors and high-ranking officers in the armed forces;
  - j) members of the administrative, management or supervisory bodies of state-owned enterprises; and
  - k) directors, deputy directors and members of the board or equivalent function of an international organisation.
- In particular, the following definitions, which do not cover middle ranking or junior staff in public functions, apply:
- i. Foreign PEPs: individuals who are or have been entrusted with prominent public functions by a foreign country;
  - ii. Domestic PEPs: individuals who are or have been entrusted domestically with prominent public functions;
  - iii. International organisation PEPs: persons who are or have been entrusted with a prominent function by an international organisation;
  - iv. Family members : individuals who are related to a PEP either directly or through marriage or similar (civil) forms of partnership; and
  - v. Close associates: individuals who are closely connected to a PEP, either socially or professionally.

The difference between a foreign PEP and a domestic PEP is the country which has entrusted the individual with a prominent public function.

Family members of a PEP include the following:

- a) a spouse or partner of the PEP;
- b) children of the PEP and their spouses or partners; and
- c) parents of the PEP.

Family members of a PEP include the following:

- a) a spouse or partner of the PEP;
- b) children of the PEP and their spouses or partners; and
- c) parents of the PEP.

Known close associates of a PEP include the following:

- a) individuals known to have joint beneficial ownership of a legal entity or a legal arrangement or any other close business relationship with a PEP. For example, a PEP's business partners; and
- b) individuals who have sole beneficial ownership of a legal entity or a legal arrangement which is known to have been set up for the benefit of a PEP.

# Unit Trust (Namibia)

## FIA and supporting documentation annexure

In terms of the Financial Intelligence Act (FIA), before M&G Investments can enter into any transaction it is mandatory that we obtain and verify certain information from an investor. Where the investor is a legal entity, we need to identify the legal entity and its beneficial owners, controlling persons and authorised signatories, prior to entering into a transaction. We retain the right to contact you to request additional information/documentation should it be needed.

Please ensure that documents clearly show your full name, surname, identity number, issue date and photograph. If a smart card is used, ensure that we receive a clear copy of both the front and back of the smart card. **Please ensure that all documents submitted are certified.**

### Individuals/Sole Proprietorship

1. Namibian issued barcoded identity document ("ID") / smart card (front & back) or temporary ID/drivers license/valid passport	<input type="checkbox"/>
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### Minor

1. Birth Certificate/Unabridged Birth Certificate	<input type="checkbox"/>
2. Proof of Identity of Parent or Guardian, Certificate of guardianship (if not Parent), <b>Annexure A</b> – completed by Parent or Guardian	<input type="checkbox"/>

### Close Corporations

1. The most recent CC1 (founding statement) or CC2 (amended founding statement)	<input type="checkbox"/>
2. Identity document for each member and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a members' resolution, power of attorney, mandate, or valid court order	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

### Unlisted Company

1. The most recent CM1 (Certificate of incorporation)	<input type="checkbox"/>
2. The most recent CM29 and CM22	<input type="checkbox"/>
3. A company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 20% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
4. Identity document of each natural person holding 20% or more of the voting rights (directly or indirectly) (beneficial owner/s), the executive manager, CEO and persons authorised to act on behalf of the company.	<input type="checkbox"/>
5. Proof of authority to act in the form of a directors' resolution, power of attorney, mandate or valid court order	<input type="checkbox"/>
6. Proof of operating address	<input type="checkbox"/>

### Listed Company

1. Official documentation from the relevant securities exchange, or other acceptable source, reflecting current listing status	<input type="checkbox"/>
2. Identity document of the managing director and persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Power of attorney, mandate, directors resolution or valid court order	<input type="checkbox"/>

### Foreign Company

1. Official documentation reflecting the registered name, registration number, registered address, and any name changes since incorporation	<input type="checkbox"/>
2. A company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 20% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
3. Identity document of each natural person holding 20% or more of the voting rights (directly or indirectly) (beneficial owner/s), the executive manager, CEO and persons authorised to act on behalf of the company	<input type="checkbox"/>
4. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>
5. Proof of operating address	<input type="checkbox"/>



# Unit Trust (Namibia)

## FIA and supporting documentation annexure

### Partnership

1. Partnership agreement	<input type="checkbox"/>
2. Identity document for each partner, controlling persons (Manager) and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Partners' resolution	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

### Trusts

1. Trust deed or other founding document	<input type="checkbox"/>
2. Letters of authority issued by the Master of the High Court where the trust was registered (or equivalent document for international trusts)	<input type="checkbox"/>
3. Identity document for founder of the trust, each trustee, each named beneficiary, or the manner in which the beneficiary(ies) of the trust is/(are) determined, the beneficial owners and the persons authorised to act on behalf of the trust (Agent/s)	<input type="checkbox"/>
4. Proof of authority to act in the form of a resolution, power of attorney, letters of authority etc.	<input type="checkbox"/>

### Pension Funds/Medical Schemes

1. NAMFISA or other registration certificate or rules	<input type="checkbox"/>
2. Identity document for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a trustees resolution naming and authorising a signatory to act on its behalf	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

### Other Legal Entities

1. Founding documents (i.e. documents used to register/incorporation the business/legal entity & NGO's)	<input type="checkbox"/>
2. Identity documents for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a power of attorney, mandate, director/trustees resolution or valid court order	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

### Agent, Authorised Persons, Controlling Person

1. Authorising resolution, power of attorney, mandate, resolution or valid court order, letter of executorship, certificate of guardianship, etc.	<input type="checkbox"/>
2. Identity document for each person authorised to act on behalf of the investor	<input type="checkbox"/>