



Risk-based approach (RBA) Survey

MandG Investments Unit Trusts South Africa (RF) Ltd (Registration number: 1999/005242/06) (the Manager) is an approved CIS management company (#29) under the Collective Investment Schemes Control Act, 2002. Portfolio assets are managed by MandG Investment Managers (Pty) Ltd (Registration number: 2013/051515/07), which is an approved discretionary Financial Services Provider (#45199) for the MandG SA group (M&G Investments). The M&G Living Annuity is underwritten by MandG Investments Life South Africa (RF) Ltd (Registration number: 2008/013338/06) (M&G Life) an approved long-term insurer. MandG Investments Unit Trusts South Africa (RF) Ltd (the Manager) is authorised as a Manager in terms of the Collective Investment Schemes Control Act (CISCA). Portfolio assets are managed by MandG Investment Managers (Pty) Ltd (Registration number: 2013/051515/07), which is an approved discretionary Financial Services Provider (#45199) for the MandG SA group (M&G Investments).

Our contact details

Sharecall: 0860 105 775	Postal address:	Physical address:
International: +27 21 670 5101	PO Box 23167	7 th Floor, Protea Place
Email: instructionsa@mymandg.co.za	Claremont	30 Dreyer Street
Web: www.mandg.co.za	7735	Claremont

When to complete this form

Please complete this form if you have received a request from M&G Investments to update your FICA (RBA) information. Please send your completed form to info@mandg.co.za.

Investor information

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

Email address

Industry of work

Government/SOE <input type="checkbox"/>	Financial <input type="checkbox"/>	Retail <input type="checkbox"/>	Industrial <input type="checkbox"/>	Agriculture <input type="checkbox"/>	Tourism <input type="checkbox"/>
Self-employment <input type="checkbox"/>	Resources <input type="checkbox"/>	Communications & technology <input type="checkbox"/>	Manufacturing <input type="checkbox"/>	Politics <input type="checkbox"/>	
Loan companies <input type="checkbox"/>	Gambling <input type="checkbox"/>	Arms & munitions <input type="checkbox"/>	Professional, legal/education, medical <input type="checkbox"/>		

Other

Prominent Person Declarations

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

Are you a Domestic Prominent Influential Person as defined in Schedule 3A of the Financial Intelligence Centre Act as amended? Yes No

Are you a Foreign Prominent Public Official as defined in Schedule 3B of the Financial Intelligence Centre Act as amended? Yes No

Are you a family member or known close associate of Domestic Prominent Influential Person's and/or Foreign Prominent Public Official's as defined in Schedule 3A and Schedule 3B of the Financial Intelligence Centre Act as amended? Yes No

Appendix 1

Our contact details

Sharecall: 0860 105 775

International: +27 21 670 5101

Email: instructionsa@mymandg.co.za

Web: www.mandg.co.za

Postal address:

PO Box 23167

Claremont

7735

Physical address:

7th Floor, Protea Place

30 Dreyer Street

Claremont

1. Schedule 3A: Domestic Prominent Influential Person (DPIP) (date of commencement: 2 October, 2017)
A domestic prominent influential person is an individual who holds, including in an acting position for a period exceeding six months, or has held at any time in the preceding 12 months, in the Republic
 - (i) a prominent public function including that of -
 - (a) the President or Deputy President;
 - (b) a government minister or deputy minister;
 - (c) the Premier of a province;
 - (d) a member of the Executive Council of a province;
 - (e) an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998 (Act No. 117 of 1998);
 - (f) a leader of a political party registered in terms of the Electoral Commission Act, 1996 (Act No. 51 of 1996);
 - (g) a member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003 (Act No. 41 of 2003);
 - (h) the head, accounting officer or chief financial officer of a national or provincial department or government component, as defined in section 1 of the Public Service Act, 1994 (Proclamation No. 103 of 1994);
 - (i) the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), or a chief financial officer designated in terms of section 80 (2) of the Municipal Finance Management Act, 2003 (Act No. 56 of 2003);
 - (j) the chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999 (Act No. 1 of 1999);
 - (k) the chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000);
 - (l) a constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001 (Act No. 47 of 2001);
 - (m) an ambassador or high commissioner or the senior representative of a foreign government based in the Republic; or
 - (n) an officer of the South African National Defence Force above the rank of major general;
 - (ii) the position of-
 - (a) chairperson of the board of directors;
 - (b) chairperson of the audit committee;
 - (c) executive officer; or
 - (d) chief financial officer, of a company, as defined in the Companies Act, 2008 (Act No. 71 of 2008), if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister by notice in the Gazette; or
 - (iii) the position of head, or other executive directly accountable to that head, of an international organisation based in the Republic.

2. Schedule 3B: Foreign Prominent Public Official (FPPO) (date of commencement: 2 October, 2017)
A foreign prominent public official is an individual who holds, or has held at any time in the preceding 12 months, in any foreign country a prominent public function including that of a -
 - (i) Head of State or head of a country or government;
 - (ii) member of a foreign royal family;
 - (iii) government minister or equivalent senior politician or leader of a political party;
 - (iv) senior judicial official;
 - (v) senior executive of a state owned corporation; or
 - (vi) high-ranking member of the military.

3. Family members and known close associates (RCA's) (S21h of the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001) [FICA], as amended)
They are immediate family members and known close associates of DPIP & FPPO's, as the case may be. For our purposes, an immediate family member includes:
 - (i) the spouse, civil partner or life partner;
 - (ii) the previous spouse, civil partner or life partner, if applicable;
 - (iii) children and step children and their spouse, civil partner or life partner;
 - (iv) parents; and
 - (v) sibling and step sibling and their spouse, civil partner or life partner.