

Date:

SELECT ONE:

Individual

Joint

Corporate

Investor Details

	Signatory 1	Signatory 2	Signatory 3
Surname			
Other Name(s)			
Date of Birth			
ID / Passport No.			
Nationality			
Country of Residence			
TIN No. <i>[Optional]</i>			
Mobile No.			
Email Address			
Postal Address & Code			
Employment Status	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired
Employer's Name			
Occupation			
Industry			
Position(For Corporate)			

For **INDIVIDUALS**, only fill under **SIGNATORY 1**

Authorised Signatories to sign mandate All to sign Either to sign Any two to sign

Company Details (FOR CORPORATE ONLY)

Company/Organization Name:

Reg. no.: TIN No.: Date of Inc.:

Country of Registration: Nature of Business:

Industry: Postal & Code:

Email Address: Building and Flr:

City / Town: Road:

Contact Person: Mobile No.:

We write to confirm that the above is a description of our current business address.

Self Certification (Tax Status)

Are you or the company / organization registered for tax in Uganda? Yes No

Are you or the company / organization registered for tax in any other country? Yes No

If "Yes", please provide your Tax Identification Number for each country (or reason why none has been issued)

Country of Residence	Tax Identification No.	Or Reason	Tax No. Not Applicable

Beneficiaries (FOR INDIVIDUAL / JOINT ONLY)

	Beneficiary 1	Beneficiary 2	Beneficiary 3
Name			
Date of Birth			
Identification No.			
Mobile No.			
Percentage Share (%)			
Relationship			
Email Address			

Guardian (For minor beneficiaries i.e below 18 years)

Full Name	ID Number/Passport Number	
Date of Birth	Mobile Number	Relationship to Minor

Sanlam Investments East Africa Limited:

7th Floor, Workers House, Pilkington Road, Kampala,
PO Box 9831, Kampala, Uganda,
Website: www.invest-ug.sanlameastafrica.com

Contact Information:

Email: customerservice@sanlameastafrica.com
Mobile & WhatsApp: 0771 452 573
Social Media: Facebook, Twitter, LinkedIn: @SanlamInvestUG

Risk Assessment

1. What is your age bracket? *[For Individual and Joint Applicants]*

- a. 18 - 30 years b. 31 - 45 years c. Over 45 years

How long have you been operational? *[For Corporate Applicants]*

- a. 0 - 5 years b. 6 - 10 years c. Over 10 years

2. How long do you want to invest?

- a. Above 3 years b. 1 - 3 years c. 0 - 1 years

3. Have you ever invested in any of the investments below? (Please tick where applicable)

Fixed Deposit Land/House Shares T/Bills or T/Bonds Unit Trusts

- a. More that 3 investment categories
 b. More than 1 - 3 of the above
 c. None of the above
 d. Others (please state)

4. What type of savings or investments do you currently hold? (Please tick where applicable)

Fixed Deposit Land/House Shares T/Bills or T/Bonds Unit Trusts

- a. More that 3 investment categories
 b. More than 1 - 3 of the above
 c. None of the above
 d. Others (please state)

5. What do you expect of your income in the next one to three years?

- a. Increase b. Stay about the same c. Decline/stop

6. Would you say you have?

- a. A sound and good understanding of investments and financial markets
 b. A basic understanding of investments and financial markets
 c. Very little knowledge of investments but have an interest
 d. No interest or knowledge of any investments

7. What attracts you to an investment?

- a. Its good return, regardless of risk
 b. A combination of security and income
 c. Purely security

FUND	RISK LEVEL	FUND OBJECTIVES
Sanlam Income Fund	Low	<ul style="list-style-type: none"> Aims to provide investors with high levels of income and capital preservation while offering flexibility.

Declarations and Signatures

I/we apply for investments into Sanlam Unit Trust Funds on the terms, conditions and regulatory information set out in the information memorandum. I/we understand that Sanlam Unit Trust reserves the right to accept or decline this application. The information is available at the Sanlam Investments East Africa website.

I/we have read and understood the information memorandum, the charges made by Sanlam Investments East Africa Limited and the applicable charges and terms and conditions of this application.

I/we confirm that I/we received clear explanations and understanding on the investment product before signing. I/we confirm that the product was fully explained to me with particular attention having been paid to its charge structure and any possible cancellation penalties that may incur. Investable funds should be sighted in the Sanlam Unit Trust collection account before cut off for purchasing any units.

I/we confirm that the units are not being acquired directly or indirectly by or on behalf of any person restricted by the law of any jurisdiction from acquiring such units and that I/we will not sell, transfer or otherwise dispose of any such units directly or indirectly to or for the account of such a person.

I/we hereby agree that all proceeds for redemption and income distribution will be paid in accordance to the applicable payment instructions and not third party accounts.

I/we confirm that the money used for the investment in the Sanlam Unit Trust Funds is not arising out of the proceeds of any money laundering or other illicit activities.

I/we acknowledge that Sanlam Unit Trust shall not be held liable for any losses or liabilities arising from transactions conducted by unitholders who provide a member number different from the one assigned to them during the account opening process, except in cases of negligence or intentional default on Sanlam Unit Trust's part.

I/we agree that Sanlam Unit Trust is not responsible for any liability, losses or damages resulting from e-mail instructions, except when such a liability or loss results from negligence, or willful default on Sanlam Unit Trust's part.

I/we warrant that all the information given on this proposal and in all documents which have been or will be signed by me/us in the connection with the proposal application whether in my/our hand or not, is true and complete.

Sanlam Unit Trust is dedicated to protecting the confidentiality and privacy of information entrusted to us.

Personal information is processed to comply with legal and regulatory obligations, such as keeping records for tax purposes or providing information to a public body or law enforcement agency, and may include filing reports with various Regulators such as Financial Reporting Centre (FRC), Capital Markets Authority (CMA), Internal Revenue Service ("US Tax Authority"), etc.

Sanlam Unit Trust is legally bound by the Foreign Account Tax Compliance Act (FATCA) and is, or may be required for US citizens or residents, to disclose and report certain information concerning their account to the relevant authorities including but not limited to the US Internal Revenue Service ("US Authorities"). Additionally, FATCA may require the Sanlam Unit Trust to deduct, withhold and remit such taxes or monies to the US Authorities as may be directed by them from time to time.

We shall notify you of any material changes regarding the protection of your personal data via email or our website. If you have any queries at all in relation to your personal data and how we can protect your data rights, please contact our Data Protection Officer through privacyofficer@sanlameastafrica.com

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Mobile & WhatsApp: 0771 452 573
Social Media: Facebook, Twitter, LinkedIn: @SanlamInvestUG

Declarations and Signatures Continued

I/WE, THE UNDERSIGNED CONFIRM THAT I/WE HAVE READ AND UNDERSTOOD THIS DECLARATION AND ITS IMPLICATIONS

	Signatory 1	Signatory 2	Signatory 3
Name:			
Signature:			
Date:			

For **INDIVIDUALS**, only fill under **SIGNATORY 1**

For Official Use Only

1. KYC Documents

[For Individual and Joint Applicants]

- I.) Copy of National ID or Passport
- II.) Passport size photo
- III.) Copy of TIN certificate [If available]
- IV.) Copy of tax exemption certificate [If applicable]

[For Corporate Applicants]

- I.) Copy of National ID or Passport for all signatories
- II.) Passport size photo for all signatories
- III.) List of full names and ID numbers for all directors and owners listed in the Form 24.
- IV.) TIN Certificate for the firm / organization
- V.) Copy of Tax Exemption Certificate [If applicable]
- VI.) Copy of Certificate of Incorporation
- VII.) Proof of resolution (Minutes) to act on behalf of the company signing mandate and authorized signatories
- VIII.) Copy of the updated Form 24
NB: If any legal entity (Company) owns more than 20% of the company's shares, please also provide the Form 24 document for that entity.

2. Proof of Banking details

- I.) Copy of ATM card with the account name and number [only applies to Individual and Joint applicants], or Copy of Bank Statement or Original Cancelled Cheque [applies to all applicants]

3. Proof of investment i.e Mobile Money confirmation message, Deposit Slip, Cheques, or RTGS. Cheques should be written in the name of Sanlam Unit Trust.

I hereby confirm that all the above documents (where applicable) have been attached.

Financial Advisor Name: _____

Code: _____ Signature: _____

Date:

For Internal Use

Staff Name: _____ Signature: _____ Date:

Reviewed by: _____ Signature: _____ Date:

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