

FINANCIAL ADVISOR APPOINTMENT OR CHANGE IN FEE



Instructions

1. Please complete this form if you are changing your financial advisor or changing your fee agreement with your current advisor.
2. Please provide a copy of the financial advisor's ID and proof of residential address (less than 3 months old).
3. Please email this to instruct@ashburtoninvest.co.za.

The investor/financial services provider ("FSP"/authorised representative hereby agrees to provide all documentation and information required in terms of FICA, and understands that the Administrator is prohibited from processing any transaction on his/her behalf until all such documentation and information has been provided and the Administrator has satisfied itself that all requirements have been met.

FNB Investor Services Proprietary Limited ("Administrator"), Registration Number 2011/139123/07, is an authorised administrative financial services provider (FSP Number 44341) and is the administrator of this investment.

1. Investor details

Investor ID: _____

Individual investors

Title: _____ Surname: _____

First name(s): _____

Identity/Passport number:

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Contact number:

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Person acting on behalf of investor

Title: _____ Surname: _____

First name(s): _____

Identity/Passport number:

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Contact number:

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Legal entities

Registered name: _____

Registration number:

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Contact number:

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2. New advisor details

If you are changing your financial advisor please supply information below.

Financial services provider name: _____

Financial services provider ID: _____

Financial advisor name: _____

Financial advisor code: _____

3. Financial advisor fees

If you are changing your financial advisor and/or changing your financial advisor fees please supply the information below. I agree to pay the following negotiated fees on all future transactions unless otherwise specified.

Please specify the percentage, excluding VAT.

Contract number	Initial fees (%) (excluding VAT)	Ongoing fees (%) (excluding VAT)

The maximum initial advice fee is 3%, excluding VAT.
 The maximum annual advice fee is 1%, excluding VAT.

4. Financial services provider details

I confirm that this advisor, as authorised representative of this financial services provider ("FSP"), is my appointed advisor.

Financial Advisor name: _____

Financial Advisor code: _____

FSP Sales Reference/Bibliffe number: _____

FSP name: _____ FSP code: _____

Telephone number:

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Financial advisor FICA declaration

I confirm that I have identified the investor mentioned in this application, as well as the person acting on behalf of the investor (if applicable) and have verified their identities according to the requirements as set out in the Financial Intelligence Centre Act 38 of 2001 ("the Act"), and any legislation, regulations or guidelines related thereto. I further confirm that I have verified and satisfied myself that the money being invested by the investor is not derived from the proceeds of any unlawful activity as defined and contemplated in POCA. I further confirm that I will keep record of the verification documents as required in terms of the said Act and will make available copies of these documents and details of the verification procedures followed, to any party entitled thereto in terms of the Act, on request.

I, the undersigned, declare that I have inspected all the investor's information at my disposal and warrant that it is true and correct. In the event that I find any evidence alluding to any US status, I shall advise the Administrator in writing within 30 (thirty) days.

Financial advisor signature: _____ Date:

Y	Y	Y	Y	M	M	D	D
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Discretionary mandate declaration by investor

This section is only applicable if the FSP holds a Category II license ("discretionary FSP") with the Financial Services Board, and is therefore an approved discretionary FSP, and if you have entered into a discretionary mandate with the FSP.

The paragraph below contains statements which are an acknowledgment of fact by the investor. The investor must read the paragraph below carefully and ensure that the statements are true and correct. The paragraph below also places various risks, liabilities, obligations and legal responsibilities on the investor. As a result of the paragraph below, the investor's rights and remedies against the Administrator and other persons will be limited if the Administrator accepts, acts or relies on information and instructions given by the FSP. The Administrator may also have claims and other rights against the investor.

I agree and understand that in terms of the mandate that I have entered into with the FSP, that the FSP may give the Administrator instructions directly and I hereby authorise the Administrator to accept such instructions on my behalf. I further understand that if this mandate between myself and the FSP is terminated, that it is my responsibility to inform the Administrator of this.

Investor signature: _____ Date:

Y	Y	Y	Y	M	M	D	D
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5. Declaration by financial services provider ("FSP")

The FSP/authorised representative, by appending his/her signature hereto, states and declares that he/she has read and understood the Terms and Conditions pertaining to this investment product; warrants that all statements given by him/her in the application form are true and correct in every respect and that such statements shall form the basis of the contract, which is to be entered into, between the investor and the Administrator, as well as the contract between the investor and the FSP/authorised representative as regards the FSP/authorised representative. All statements made, and details supplied by him/her on the investor's behalf, whether by his/her own hand or otherwise, are true and correct, and the Administrator is entitled to regard them as such for the purposes of considering the investor's application to invest in the account, as well as for the purposes of paying any fees to the FSP/representative; and has adhered to all the requirements of the FAIS Act and its applicable subordinate legislation and Codes of Conduct in the course of rendering financial services to the investor.

The FSP/authorised representative further acknowledges that he/she is aware that the investor will be screened and profiled by the Administrator in terms of the Administrator's FICA requirements, and may be required to submit additional supporting documentation such as financial statements and asset and liability statements where the investor falls within a certain risk category as defined by the Administrator. The FSP/authorised representative acknowledges that he/she has personally explained all the fees and commissions applicable to this investment to the investor.

Signature of FSP/
Authorised representative: _____

Date:

Y	Y	Y	Y	M	M	D	D
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6. Declaration by investor

By signing this application form, the investor declares that:

1. I warrant that all information provided by me in this form and all other applicable documents to this instruction are true and correct in every respect.
2. I have read, understood and agree to be bound by the relevant and latest Terms and Conditions available on www.ashburtoninvestments.com or from the Client Service Team on 0860 274 287.
3. I agree that where I have a financial advisor, that he/she shall have access to my information which is available on www.ashburtoninvestments.com.
4. I confirm that the Administrator has not, in relation to this instruction, given me any advice.

Signed at _____

Date:

Y	Y	Y	Y	M	M	D	D
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Signature of investor (or duly authorised person(s) where applicable): _____

Signature of person acting on behalf of investor (if applicable): _____