



## Hedge Funds Transfer Form Hedge Fund Schemes

**Submit the completed form and supporting documents to:**

E-mail forms@sanlamhedgefunds.com

**If you have any questions, contact us on:**

Tel +27 (21) 916 6910

E-mail service@sanlamhedgefunds.com

### Important information

- By completing this form, you are applying to transfer ownership of your unit trust investment to another person or legal entity (called a 'beneficiary').
- This form will be used to process your transfer instruction only. Should you wish to change your personal information or contribution(s), you will need to complete an Investor Details Update form, available on [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com).
- We will only proceed with transfer instructions once the form has been completed, dated and signed by the investor and / or authorised signatories and we have received all the necessary Financial Intelligence Centre Act 38 of 2001 (FICA) requirements.
- Transfers for deceased investors must be completed and signed by the executor(s) of the deceased investor's estate.
- Other transfers must be completed and signed by the individual / entity making the transfer (the investor) as well as the entity that the units are being transferred to the beneficiary.
- Please initial the bottom of each page as well as any changes made on this form.
- Any writing/instruction outside of the allocated fields will not be processed.
- Pages 3 and 4 must not be sent to us.

### 1. Investor Details

Investor / entity code \_\_\_\_\_

Title Mr ☐ Mrs ☐ Miss ☐ Other (specify) \_\_\_\_\_

Full name(s) and surname / Name of legal entity \_\_\_\_\_

Identity number / Passport number / entity registration number \_\_\_\_\_

Contact telephone number ( ) ( )  
Country and area codes, e.g. +27 21 555 5555

Email address \_\_\_\_\_

**Please note:** If you have provided different contact details on this form to what we currently have on our records, your details will not be updated until we receive a completed *Investor Details Update form*, available on [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com).

### 2. Transfer options

If the beneficiary of the account is not an existing investor, this person or entity must complete a *Retail or Qualified Investors Hedge Fund Application form* for new investors (available at [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)) and submit it with this form. Standard rules and FICA requirement checks will apply.

Transfers to spouses (only to be completed if transfer is from a deceased estate): Yes ☐ No ☐

If "Yes" is selected, please supply a copy of the marriage certificate.

#### 1. From:

Hedge Fund Name	Class	Total amount (R)	OR	Units	OR	All units

#### To:

Beneficiary / entity name	Investor / entity code (if existing)

Initial \_\_\_\_\_

**Transfer options continued from page 1****2. From:**

Hedge Fund Name	Class	Total amount (R)	OR	Units	OR	All units

**To:**

Beneficiary / entity name	Investor / entity code (if existing)

**3. From:**

Hedge Fund Name	Class	Total amount (R)	OR	Units	OR	All units

**To:**

Beneficiary / entity name	Investor / entity code (if existing)

**3. Signature of investor**

Signature of investor \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

OR

**Authorised signatory/(ies) acting on behalf of the investor**

(e.g. parents / guardians of a minor, and all persons authorised to act on behalf of the investor)

Title Mr ☐ Mrs ☐ Miss ☐ Other (specify) \_\_\_\_\_

Full name(s) and surname \_\_\_\_\_

Identity number / Passport number \_\_\_\_\_

Contact telephone number ( ) ( ) \_\_\_\_\_  
Country and area codes, e.g. +27 21 555 5555

Capacity \_\_\_\_\_

Signature of authorised signatory \_\_\_\_\_ Date signed \_\_\_\_\_ (ddmmccyy)

**4. Broker / Sanlam financial adviser details**

Only one broker/adviser is applicable per investor code

Full name(s) \_\_\_\_\_ Code \_\_\_\_\_

Surname \_\_\_\_\_

Identity number / Passport number \_\_\_\_\_

Contact telephone number ( ) ( ) \_\_\_\_\_  
Country and area codes, e.g. +27 21 555 5555

Email address \_\_\_\_\_

Initial \_\_\_\_\_

## 5. Important notes

- Fund minimums apply to transfer requests (please see the relevant Minimum Disclosure Documents available on [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com))
- Transfers between the same funds are free of costs.
- Transferring units may trigger capital gains tax (CGT) and you may be liable for taxes. We will issue a Capital Gains Tax certificate at the end of the applicable tax year.
- After the transfer has taken place and the beneficiary wishes to switch to a different fund or class, a *Hedge Funds Switch form* must be completed, available from [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com).
- Should any future income be paid out / amended or if your personal information has changed, you will need to complete an *Investor Details Update form*, available from [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)

## 6. Terms and conditions

Sanlam Group is a full member of the Association for Savings & Investment SA (ASISA).

### 6.1 About unit trusts

- When you invest in a collective investment scheme, your money is pooled with the money of other investors. This pool of money is used to buy a portfolio of assets, such as shares (equities), bonds or listed property. As an investor, the value of the units you own is calculated by taking the number of units you own and multiplying them by the latest ruling price per unit. Forward pricing is used. Details of what each fund invests in, as well as its risk profile, are specified in the Minimum Disclosure Documents.
- The price per unit goes up and down according to the value of the underlying assets in the relevant portfolio. Neither your capital nor the return of your investment is guaranteed for any unit trust fund investment. For information on Hedge Fund unit trusts and how they work, along with our full range of funds and the relevant Minimum Disclosure Documents, please visit our website at [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com), or alternatively you can call us on +27 (21) 916 6910.
- Unit trusts are generally medium to long-term investments. Past performance is not necessarily a guide to future performance. Unit trusts are traded at ruling prices and may engage in borrowing and scrip lending. Unit trust prices are calculated on a net asset value basis, which is the total value of all assets in the portfolio, including any income accrual, less any permissible deductions from the portfolio and divided by the units in the portfolio.
- A fund of funds is a portfolio that invests in portfolios of collective investment schemes, which levy their own charges. This could result in a higher fee structure for the fund of funds.
- Sanlam Collective Investments takes full legal responsibility for the co-branded portfolios.
- Portfolios that invest in international investments, or investments in foreign securities, could be accompanied by additional risks as well as potential limitations on the availability of market information.

### 6.2 Fees and charges

- A schedule of fees and charges and maximum commissions is available from the Minimum Disclosure Documents:
  - The following charges are levied against the portfolio: brokerage, auditors' fees, performance fees, service fees, applicable taxes, custodian fees, bank charges, trustees' fees and trailer fees.
  - These fees are charged to the client: Sanlam manager's fees as well as broker advice fees.
- Commission and incentives may be paid and if so, will be included in the overall costs. The fund manager may borrow up to 10% of the portfolio to bridge insufficient liquidity.
- Contained within the TER are expenses that relate to the investment management fee, the service costs and performance fee. Performance fees are calculated by comparing the annual return of the Fund and Performance Fee Benchmark which is set in the Fund Minimum Disclosure Documents. Performance fees will only be charged if the Fund return is in excess of the performance Fee Benchmark. All fees are accrued daily in the Net Asset Value (NAV) of the Fund.

### 6.3 Transaction cut-off times

- Please make sure you send us your completed instruction (including supporting documents) before the transaction cut-off time. The SA business day transaction cut-off time for our funds is 14:00.
- We can only process your instruction once we have received the correct and accurately completed form and the required supporting documents. If an instruction is issued incorrectly, is unclear, incomplete, or if the supporting documents are not received by the cut-off time, the processing of the transaction will be delayed.
- Your transaction will be priced using the ruling price of the fund for the day the transaction is processed ie the day we receive all of the required information. Any loss will be for the investor's account.

### 6.4 Conflict of interest

All actual and potential Conflicts of Interest are managed, reported and disclosed in line with the Managers Conflicts of Interest and Outsourcing Policy which is available on request, or on the Sanlam website [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com).

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## 6.5 Unclaimed assets and how they affect you

More information on the ASISA Standard on Unclaimed Assets and the processes is available on [www.asisa.org.za](http://www.asisa.org.za) or from our client service centre on +27 (21) 916 6910.

## 6.6 Update your personal details

It is your responsibility to keep us informed of any changes in your banking details, personal information or current identification information (e.g. change of address, change of surname and contact details). If any of your details have changed, you will need to complete an Investor Details Update form available from [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com).

## 6.7 Making changes to your investment

Unit trusts are a flexible investment option, which means that you can make changes to your investment as your personal circumstances change. This means you can change your fund selection, sell some or all of your units, and make additional investments. As changes to your investment could impact your original investment goals, please speak to your financial adviser or broker.

## 6.8 Complaints

- We want to give you outstanding client service, but sometimes things go wrong. If you are dissatisfied with our service, or any of our products have disappointed you, we would like to hear about it. Please get in touch:
  - Telephone: +27 (21) 916 6910
  - Fax: 021 947 8224
  - Email: [complaints@sci.sanlam.com](mailto:complaints@sci.sanlam.com)
  - Complete a complaint form online at [www.sanlamhedgefunds.com](http://www.sanlamhedgefunds.com)
  - Visit your nearest Sanlam office.

Your views are very important to us. When we receive your complaint, a competent team, specifically trained to handle and resolve complaints, will investigate it and try to resolve it as soon as possible in a fair manner.

## 6.9 How we process your personal information

- We collect personal information about you to offer you the best service. We will not share this information outside of the Sanlam Group, its associated groups or agents, without your explicit consent. In order to provide you with an effective service, we may be required to share this information with our administrators or agents who perform certain services for us (e.g. mail houses who post your statements on our behalf), members of the Sanlam Group, your financial adviser or broker, as well as with any regulatory bodies as the law requires. We may share your information with foreign regulatory bodies if required.
- Your information is used for administrative, operational, audit, marketing, research, legal and record keeping purposes. We will take all reasonable steps necessary to secure the integrity of any personal information which we hold about you and to safeguard it against unauthorized access. If you don't consent to us using your personal information, there may be delays or some instructions might not be carried out. You can have access to your information at any time and ask us to correct any information we have in our possession. Please feel free to write to us to obtain a copy of this information. We keep relevant documents for a period of five years or more as required by the law. You consent to us retaining your personal information for longer periods, in which case access will be restricted and the information will only be processed for storage, for purposes of proof or with your consent.

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