



Change of Authorised Custodian

Investment Portfolio
Investment Portfolio+

September 2021

Please complete this form if you wish to request or change an Authorised Custodian facility for your Old Mutual International Investment Portfolio or Investment Portfolio+. A separate form is required for each plan.

When completing this form, please use BLOCK CAPITALS and blue or black ink only and complete all relevant sections. Please do not use correction fluid; any amendments should be crossed out and initialled. This form must be signed by the Contract Holder(s).

Old Mutual Life Assurance Company South Africa (OMLACSA) has provided details of all our Privacy Notices to you via our literature and General terms and conditions. Our full Privacy Policy can be viewed at www.omi-int.com/privacyPolicy.html or can be obtained by requesting a copy from our Data Protection Officer at enquiries@impactiom.com

Definitions

Direct Funds: Any one of the funds made available on the Old Mutual International platform. Our Investment Choices fund list is available on our website – www.omi-int.com

Authorised Custodian Facility: A professional banker or other organisation which is authorised, where appropriate, by its regulator to provide custodian and depository services and which we have appointed to provide these services in respect of this Plan.

ADVISER CONTACT DETAILS FOR QUERIES RELATING TO THIS FORM:

Name	<input type="text"/>
Contact number	<input type="text"/>
Email address	<input type="text"/>



1 Details of Plan

Investment Portfolio/Investment Portfolio+ Plan number

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Type (✓)

☐ Individual ☐ Trustee ☐ Corporate

Contract Holder 1

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Contract Holder 2

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Contract Holder
address & country

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Contract Holder
address & country

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Postcode

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Postcode

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Telephone

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Telephone

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Email address

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Email address

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Contract Holder 3

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Contract Holder 4

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Contract Holder
address & country

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Contract Holder
address & country

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Postcode

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Postcode

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Telephone

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Telephone

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Email address

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Email address

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2 Authorised Custodian changes (Please (✓) and complete the option you require)

A. Existing Plan – assets currently in Direct Funds moving to Authorised Custodian Facility: ☐

I request and instruct Old Mutual Isle of Man to open an account and transfer the proceeds of the sale of the Assets within the Plan to the following:

Name (the Custodian)	<input type="text"/>	
Address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text" value="Postcode"/>	<input type="text" value="Country"/>
Contact name	<input type="text"/>	
Contact telephone number (including area code)	<input type="text"/>	
Contact e-mail	<input type="text"/>	

Switching Out

Please (✓) ☐ if 100% out of all Direct Funds.

OR

Details of the specific Direct Fund(s) in which units are to be sold:

Fund Code	Fund name	Fund currency	%/amount to be sold



2 Authorised Custodian changes (continued)

B. Existing Plan – Assets to be moved from current Authorised Custodian Facility to Direct Funds or Model Portfolios: ☐

I request and instruct Old Mutual Isle of Man to close my account with

(insert current Custodian name)

and to transfer the assets within the Account to Old Mutual Isle of Man.

OR

Transfer %/amount

from

(insert current Custodian name)

I (or my Discretionary Investment Manager) have already instructed that the relevant Assets within the Plan as held in safe custody by the Authorised Custodian should be sold.

Switching In

Please specify the Direct funds/Model Portfolios that are to be switched into:

Code*	Fund/Model Portfolio name	Currency	%/amount to be allocated
	Funds must total 100%		100%

* Please refer to Fund Factsheets and Investment Portfolio+ Investment Choices list for relevant Fund/Model Portfolio Code, these can be accessed on www.omi-int.com

C. Existing Plan – Assets currently held with Authorised Custodian moving to alternative Authorised Custodian Facility: ☐

I request and instruct Old Mutual Isle of Man to close my account with

(insert current Custodian name)

and to transfer the Assets within the Plan to the following:

Name (insert name
of new Custodian)

Address

Contact name

Contact telephone number

Contact email

The current assets within the Plan should be (✓) (please tick where applicable)

- ☐ Sold and cash proceeds transferred to Old Mutual Isle of Man
- ☐ Assets transferred as they are currently held



2 Authorised Custodian changes (continued)

D. Additional assets and/or cash to be added to Authorised Custodian Facility through an Additional Investment: ☐

I request and instruct Old Mutual Isle of Man to open an account and transfer the Assets of the Plan to the following:

Name	<input type="text"/>
	(insert name of new Custodian)
Address	<input type="text"/>
Contact name	<input type="text"/>
Contact telephone number	<input type="text"/>
Contact email	<input type="text"/>

3 Appointing a Fund Adviser, also known as a Discretionary Investment Manager

This section is only to be completed if a new Authorised Custodian has been appointed or if a new Discretionary Investment Manager is to be appointed. Please also complete the Letter of Authority on page 10.

A Discretionary Investment Manager is a person or firm that acts as your agent and provides investment advice to you, or is able to act on your behalf under a discretionary mandate and which gives investment instructions to the Dealing Desk.

Please tick as appropriate (✓)

- ☐ I have not appointed a Discretionary Investment Manager and I will act on an "execution only basis".
- OR** · This means that I, as the Contract Holder, will issue dealing instructions directly to the Authorised Custodian's Dealing Desk.
(You do not need to complete the rest of this section, but please ensure the Letter of Authority - page 10 is completed)
- ☐ I appoint my financial adviser as indicated on this Form
- OR** · Financial advisers acting as Discretionary Investment Managers cannot have both the Investment Review Fee and the Discretionary Manager Fee.
- ☐ I appoint a third party, which may be a company linked to the Authorised Custodian, to act as my Discretionary Investment Manager as specified below.

Name of Discretionary Investment Manager firm	<input type="text"/>
Contact person	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
E-mail address	<input type="text"/>
Telephone number	<input type="text"/>



3 Appointing a Fund Adviser, also known as a Discretionary Investment Manager (continued)

Discretionary Manager Fee

- The Discretionary Manager Fee is an additional ongoing fee that you have agreed to pay your Discretionary Manager for providing you with ongoing advice.
- You have instructed Old Mutual Isle of Man to pay this fee to your Discretionary Manager by making partial surrenders from your Plan (refer to the Investment Portfolio/Investment Portfolio+ General Conditions).
- For clarity, this is not a commission payment paid by Old Mutual Isle of Man.
- Payment will be payable quarterly.
- **Subject to a maximum equivalent to 1% per annum exclusive of VAT and minimum payment of £ 250.**

VAT to be added: (If not ticked VAT will not be added):

☐ YES ☐ NO

Discretionary Investment
Manager Fee starting on

D	D	M	M	Y	Y	Y	Y
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of

11/1/2016

% per annum of the value of my Portfolio Fund to be taken

If the amount to be paid is below the minimum partial encashment amount then Old Mutual Isle of Man will accrue the calculated value and pay the Discretionary Manager Fee at the earliest opportunity following the next Quarterly Date on which the minimum partial surrender is met.

Please insert third-party Discretionary Investment Manager bank account details below.

Bank name

Bank address

Postcode
Country

Account holder's name
(as stated on bank account)

Bank account number/
IBAN*

[illegible]Sort code **
(if applicable)

		-			-		
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SWIFT or BIC code**
(if applicable)[illegible]

Bank account currency

* IBAN stands for International Bank Account Number and is always used in conjunction with a bank identifier code (BIC).

* A sort code is used in the UK in conjunction with a bank account number. A SWIFT code is used outside Europe in conjunction with a bank account number. A BIC code is used in conjunction with an IBAN.

Name of Discretionary
Investment Manager firm

Name of signatory

Position

Signature

Date _____

D	D	M	M	Y	Y	Y	Y
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4 Internet Access Request

Where the Authorised Custodian offers online services, we may, on your request, authorise view-only access to certain parties.

Does Contract Holder 1 require view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Does Contract Holder 2 require view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Does Contract Holder 3 require view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Does Contract Holder 4 require view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Does the applicant(s) require their financial adviser to have view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Does the applicant(s) require a third party to have view-only access to the Internet Service provided by the Authorised Custodian? ☐ Yes ☐ No

Details of 1st Third Party requiring access

Details of 2nd Third Party requiring access

Title (√) ☐ Mr ☐ Mrs ☐ Miss
☐ Other

☐ Mr ☐ Mrs ☐ Miss
☐ Other

Full forename(s)

Surname

Address

Postcode

Postcode

Telephone number

E-mail address

I request that you connect me or, if applicable, the third party I have named, to the Internet Service provided by the Authorised Custodian.



5 Declaration by each Contract Holder or Authorised Signatories of the Company or the Trust

1. I agree that the Authorised Custodian shall, in opening the account, have the powers of administering the investment in the account and acting as Authorised Custodian of the investments in the account, such investments being held in a nominee name of the Authorised Custodian.
2. I accept that Old Mutual Isle of Man bears no legal or other responsibilities if, at any time, the Authorised Custodian, in respect of the account, either:
 - Fails to meet any of its obligations, and/or;
 - Acts in a fraudulent, incompetent or negligent manner by act or default, and/or;
 - Enters into liquidation and/or receivership and/or enters into a voluntary arrangement with its creditors and/or is unable to pay its debts.
3. I agree that any overdrawn balances on my Transaction Account held with Old Mutual Isle of Man will be paid up before any cash is transferred to the new Authorised Custodian.
4. By making this request to Old Mutual Isle of Man to appoint the Authorised Custodian I understand that I shall not be entitled to make any claim against Old Mutual Isle of Man relating to the custody of the investments of my Portfolio Fund irrespective of any express or implied obligation that exists in the Investment Portfolio+ General Conditions.
5. In the absence of alternative instructions, cash balances below £2,500 (or currency equivalent) will be converted to the base currency of the Plan prior to transfer. Any overdrawn positions must be cleared before the assets/cash can be moved.
6. I understand that any instructions that have already been given that may still be being processed will be honoured but no further instructions will be accepted until the transfer has been completed. I understand that the transfer will not commence until any outstanding settlement proceeds have been received by Old Mutual Isle of Man.
7. I understand that Old Mutual Isle of Man will not accept any further instruction to buy, sell or withdraw funds from the Plan from receipt of this form until the re-registration has been completed. I understand that in the event of the Assets moving to an Authorised Custodian Facility or alternative Authorised Custodian Facility, all investment instructions after the account has been opened must be sent to the Dealing Desk at the Authorised Custodian. I understand that this transfer may take a minimum of four weeks but could take longer. Once Old Mutual Isle of Man has instructed the commencement of the transfer, it cannot accept responsibility for any delay that may arise due to third parties involved.
8. I understand that, where I may hold Old Mutual Isle of Man direct Funds and have chosen to move my Plan assets to an Authorised Custodian, these funds will be sold and the cash proceeds, less any outstanding charges, will be sent to the Authorised Custodian.
9. I hereby confirm that I have read and understood all the relevant account opening documents and terms and conditions of my chosen Authorised Custodian that relate to the service they are providing and I agree with their contents.
10. I confirm that I am responsible for the Authorised Custodian's charges, which will be deducted from the value of the Investment Portfolio or Investment Portfolio+ portfolio fund.
11. I agree that Old Mutual Isle of Man or the Reinsurer can release my personal data and documentation to the Authorised Custodian should it be required to do so by the Authorised Custodian in order to comply with the Authorised Custodian's local laws or anti-money laundering and prevention of terrorist financing practices.
12. I can confirm that the Authorised Custodian has agreed to accept the existing assets. If it transpires at a later date that the assets are not acceptable, I agree that they can be sold and the sales proceeds forwarded to them.
13. I understand that there may be a charge to transfer between Authorised Custodians and agree to this sum being debited from my Portfolio Fund.



Signature(s) of Contract Holders or, for Corporate Contract Holders, the Authorised Signatories of the company

Signature of first Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>
Signature of second Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>
Signature of third Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>
Signature of fourth Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>
Signature of fifth Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>
Signature of sixth Contract Holder / Authorised Signatory	<input type="text"/>	Date	<input type="text"/>

Trustee signature(s) (if any)

Signature of Trustee	<input type="text"/>	Date	<input type="text"/>
Signature of Trustee	<input type="text"/>	Date	<input type="text"/>
Signature of Trustee	<input type="text"/>	Date	<input type="text"/>
Signature of Trustee	<input type="text"/>	Date	<input type="text"/>
Signature of Trustee	<input type="text"/>	Date	<input type="text"/>
Signature of Trustee	<input type="text"/>	Date	<input type="text"/>

OLDMUTUAL

INTERNATIONAL

www.omi-int.com

Old Mutual Isle of Man, Branch of Old Mutual Life Assurance Company (South Africa) Limited, is registered in the Isle of Man under number 005664F and whose principal place of business is 5A Village Walk, Onchan, Isle of Man, IM3 4EA, British Isles.

Permitted to carry on long-term Insurance Business in and from the Isle of Man by the Isle of Man Financial Services Authority.

Old Mutual Life Assurance Company (South Africa) Limited, Registration Number 1999/004643/06. A licensed FSP and Life Insurer. Registered office: Mutual Park, Jan Smuts Drive, Pinelands, Cape Town, South Africa.

OMISA/ 005/ IP+/092021



Old Mutual International Investment Portfolio+ Letter of Authority

Authorised Custodian Facility ONLY

Date

D	D	M	M	Y	Y	Y	Y
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Dear

Name and Address of Authorised Individual (who could be either the Discretionary Investment Manager or the Contract Holder)

Name
Address

Name and Address of Custody Service Provider – the 'Custodian'

Name
Address

Investment Portfolio+ Restricted Letter of Authority

Reference is made to the following accounts (the 'Accounts')

Old Mutual Isle of Man to insert the Account Number(s) of the Account(s) opened with the Custodian									
Old Mutual International Investment Portfolio+ Number:									
Custodian Account Numbers	Cash						Custody		

Old Mutual Isle of Man may reinsure its policies with a reinsurer.

Old Mutual Isle of Man hereby authorises the 'Authorised Individual' to give instructions to the 'Authorised Custodian' in respect of the Accounts, subject to the terms and conditions of this Letter of Authority.

This Letter of Authority authorises the Authorised Individual to carry out any of the following actions in respect of the Accounts (designated with the above-referenced Investment Portfolio+ number) opened by Old Mutual Isle of Man with the Authorised Custodian:

- to obtain details of cash balances and safe custody holdings on the Accounts; and
- to give instructions to acquire, sell and otherwise dispose of for value investment assets (subject to the investment restrictions set out herein (the 'Investment Restrictions') and as may be changed by Old Mutual Isle of Man from time to time) any such acquisition or proceeds of disposition to continue to be held for the benefit of the Accounts.

PROVIDING that, and for the avoidance of any doubt, this Letter of Authority does not extend to or give authority to the Authorised Individual to:

- Give instructions in respect of Assets that are not permitted by the Investment Restrictions
- Withdraw money or securities from the Accounts
- Pledge any money or security in the Accounts
- Overdraw an Account(s) or issue any form of credit line or borrowings against the Accounts
- Issue or use a cheque book on the Accounts or
- Represent Old Mutual Isle of Man at shareholders' meetings.

The Investment Restrictions specify certain classes of Assets which can and cannot be held within the Accounts. These restrictions are made for administrative and/or regulatory reasons only and do not reflect any guidance from Old Mutual Isle of Man on risk or potential performance. The Authorised Individual is responsible for his or her choice of investment, not Old Mutual Isle of Man. The value of the Investment Portfolio+ referenced above is linked to the value of the Assets held within the Accounts.



Investment Restrictions

Permitted investments

- Regulated Collective Investment schemes from the following jurisdictions:
- UK Authorised Unit Trusts/ OEICs
- UK Authorised Investment Trusts
- FSA Recognised funds in other jurisdictions
- Funds with UCITS status
- Luxembourg SICAVs, Fonds Commun de Placement (FCPs) and SIF Schemes
- Exchange Traded Funds (providing the exchange is one Old Mutual Isle of Man deals on)
- Irish Collective Investment Schemes
- Isle of Man Collective Investment Schemes International Schemes
- EU Registered Funds
- Channel Islands Collective Investment Schemes
- Australian Mutual Funds
- Swedish Funds
- Cayman Islands Mutual Funds
- BVI Public Funds
- Bermuda Collective Investment Schemes
- Bahamas Collective Investment Schemes
- Singapore Unit Trusts
- Hong Kong Unit Trusts
- Mauritius Collective Investment Schemes
- Gibraltar Collective Investment Schemes
- Malta Collective Investment Schemes
- Luxembourg SICAV SIF

Other Securities

- Equities/stocks on a stock exchange recognised by Old Mutual Isle of Man.
- Bonds with minimum rating of Baa3 (Moody's) / BBB- (Standard & Poors) and that a regular secondary market exists in order to sell holdings.
- Medium Term Notes providing the Issuer of the Notes is rated at least Baa3 (Moody's) / BBB- (Standard & Poors) or higher and that a regular secondary market exists in order to sell holdings.
- Medium Term Notes or Bond products issued by any of the following five banks are permitted and Investment Grade requirements do not apply: ABSA, Standard Bank, First Rand, Nedbank and Investec.
- Exchange Traded Commodities (providing the exchange is one Old Mutual Isle of Man deals on).
- Certificates providing the Issuer of the Certificate is rated A or higher and that a regular secondary market exists in order to sell holdings.
- Cash deposits, provided the institution has a credit rating of at least A.

The following types of investments are expressly NOT permitted

- Securities with excessive charging/commission structures. In particular funds which pay >4% initial commission to brokers and/or entry/exit penalties >5%
- Funds that can borrow cash of more than 100% of the NAV
- Illiquid assets, i.e. where the price or dealing point is not readily available
- Assets where no accurate value can be established on at least a quarterly basis
- Commodities
- Gold and precious metals
- Options/Derivatives including futures, currency forwards, short selling, Covered Warrants
- Private company shares
- Shares in Old Mutual PLC and an interest in whatever form in any Old Mutual Group company
- Contingent liability transactions
- Our CIA (Collective Investment Account) providing the institution has a credit rating of at least A, with interest paid gross and maximum term five years subject to individual review.

Old Mutual Isle of Man may change the Investment Restrictions from time to time.

This Letter of Authority is personal to the Authorised Individual and is given without right of assignment or substitution; therefore the Authorised Individual may not assign this Letter or appoint another party to act in their place. This Letter of Authority shall remain in force until such time as Old Mutual Isle of Man revokes it in writing.

This Letter of Authority shall be governed by and construed in all respects in accordance with Isle of Man law and the parties agree to submit to the non-exclusive jurisdiction of the Isle of Man Courts as regards any claim or matter arising in relation to this Letter of Authority.

Old Mutual Isle of Man is not responsible for the acts or omissions of the Authorised Individual. Accordingly, Old Mutual Isle of Man is not responsible for any reduction in the value of the Accounts arising directly or indirectly from the Authorised Individual's instructions.

Old Mutual Isle of Man is not responsible for any adverse tax effects suffered at any time by the Contract Holder of the Investment Portfolio+ as a result of Old Mutual Isle of Man agreeing to grant this letter of Authority.



It is the Authorised Individual's responsibility to ensure that, at all times, they act within the limits of this Letter of Authority and, in particular, in accordance with the Investment Restrictions. Old Mutual Isle of Man accepts no responsibility or legal liability whatsoever for loss, damages or expenses which the Authorised Individual or any other party may suffer or incur directly or indirectly as a result of the Authorised Individual acting outside the limits of this Letter of Authority.

The Authorised Individual undertakes at all times fully and effectively to indemnify Old Mutual Isle of Man from and against all present or future liabilities, losses, charges, costs, claims, demands and expenses howsoever arising as a consequence of a breach by the Authorised Individual of the terms and conditions of this Letter of Authority and, without prejudice to the generality of the foregoing, of the Investment Restrictions set out herein or as may be notified to the Authorised Individual from time to time by Old Mutual Isle of Man.

ACKNOWLEDGEMENT AND ACCEPTANCE

I have read this Letter of Authority and, by signing and delivering this Letter of Authority as a Deed, I acknowledge, accept and agree to be bound by the terms and conditions hereof and to provide the indemnity set out herein.

IN WITNESS WHEREOF the Authorised Individual has executed this document as a Deed at the date below.

Authorised Individual – Natural Person

**SIGNED and DELIVERED
AS A DEED by**

Name of Authorised Individual Signature

in the presence of:

Name of witness Signature

DATE

D	D	M	M	Y	Y	Y	Y
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OR

Authorised Individual – Limited Company

**EXECUTED and DELIVERED
AS A DEED by**

Full name of Company

acting by:-

Director name Signature

Director/secretary name Signature

DATE

D	D	M	M	Y	Y	Y	Y
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Signed for and on behalf of Old Mutual Isle of Man or their Reinsurer

Name of Authorised Signatory Signature

Name of Authorised Signatory Signature

DATE

D	D	M	M	Y	Y	Y	Y
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Signed for and on behalf of Custodian (acknowledging receipt)

Name of Authorised Signatory Signature

DATE

D	D	M	M	Y	Y	Y	Y
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