



Additional Investment Form

Investment Portfolio+ for the corporate investor

November 2019

Financial adviser's details

OMI broker number	<input type="text"/>
Name of financial adviser	<input type="text"/>
OMI consultant code (if applicable)	<input type="text"/>
OMLAC(SA) code (if known)	<input type="text"/>
Corporate adviser code (if applicable)	<input type="text"/>
Company name	<input type="text"/>
Address	<input type="text"/>
Telephone number	<input type="text"/>
Cell number	<input type="text"/>
E-mail address	<input type="text"/>
FAIS licence number	<input type="text"/>
Categories of FAIS licence held	<input type="text"/>

Old Mutual Isle of Man only accepts business introduced by intermediaries which have Terms of Business with us. All introducers must be appropriately FAIS licensed.

This Additional Investment Form is for corporate Contract Holders only. If you are an individual or trustee Contract Holder you should use the alternative Additional Investment Form which is available from your financial adviser. Please check with your financial adviser that this is the latest available document. If you require any help accessing and completing any additional forms referenced in this application or if you have any questions when you complete the form, please speak to your financial adviser.

This Additional Investment Form should only be used when applying for an additional investment into an existing Old Mutual International Investment Portfolio+, a Capital Redemption Contract issued as long-term insurance business under the Isle of Man Insurance Act 2008 by Old Mutual Isle of Man Branch of Old Mutual Life Assurance Company (South Africa) Limited ("Old Mutual Isle of Man"), and should be read in conjunction with the:

- Investment Portfolio+ Key Features Document
- Investment Portfolio+ General Conditions
- Investment Portfolio+ Investment Choices Brochure

(Please refer to our website www.oldmutualinternational.com or your financial adviser for the above literature.) When the singular is used (for example I/my), then it also includes the plural (for example we/our) and vice versa.

Please Note: If you wish to add a custodian or change an existing custodian, this must be done before this additional investment, through the Change of Custodian form.

To complete this form:

- Use BLOCK CAPITALS only
- Use blue or black ink
- Complete all relevant sections
- Do not use correction fluid; any amendments should be crossed out and signed by all authorised signatories
- Any incomplete information will need to be confirmed in writing by you to Old Mutual Isle of Man.

Please provide the existing Plan number for this additional investment:



INTERNATIONAL



A Details of all Corporate Contract Holders

In this section, please give details of the Corporate Contract Holder.

Corporate Contract Holder

Please tick (✓)

Private company Public company Other
(please specify)

Corporate name

Trading name

Previous name(s) or alias(s)

Contact person

Country of registration

Registration number
(registration number under which
the company is incorporated)

Date of incorporation

D	D	/	M	M	/	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

Registered office address

(This information must be provided
in full. Please provide the address
from which the company operates.
We are unable to accept PO Boxes
and 'care of' addresses.)

Postcode

Head Office address

(if different to the registered
address.)

Postcode

Correspondence address

Postcode

Telephone number (daytime)

E-mail address

Corporate website address

Please state the
company's main business
(for example manufacturing or
trading company)

Reason for investment

Authorised signatories

Please reconfirm the minimum number of authorised signatories of the company needed to give instructions.

The authorised signatories of the company must complete and sign the declaration on Section E.

Additional documents are needed to evidence the identity of at least two directors, one of whom must be an executive director of the company. An authorised signatory list including signing powers must be provided. Address evidence is also required.

Politically Exposed Persons (PEP)

If the Corporate Contract Holder, or any other party connected to this application either now or in the past/future, could be classed as a PEP¹, or connected with a PEP, please provide details.

¹ A PEP is an individual or entity that is, or has been, entrusted with a prominent public function or such parties associated with them (examples of PEPs: Heads of State or Government, judicial or military officials, senior politicians or senior executives of publicly owned corporations).

Details of being a PEP, or connection to a PEP:

Please note that we will need further documentary evidence on the origin of wealth to support applications from parties who are PEPs or who are connected to PEPs.



B Contribution and Investment Options

Contribution

Please complete your additional Contribution(s) below:

Currency (✓)	Amount
<input type="radio"/> £	<input type="text"/>
<input type="radio"/> US\$	<input type="text"/>
<input type="radio"/> €	<input type="text"/>
<input type="radio"/> CHF	<input type="text"/>
<input type="radio"/> AU\$	<input type="text"/>
Or enter the Rand amount	<input type="text"/>

Minimum additional investment amounts:

£ 5,000 or 7,500 for other currencies

Please refer to 3.8.4 in the General Conditions for more details on the maximum additional Contributions allowed.

Your additional Contribution will be held in the Transaction Account held with Old Mutual Isle of Man. Depending on your investment selection, the additional Contribution will be invested in Internal Funds and/or transferred to the Transaction Account with your selected Authorised Custodian, awaiting investment instructions. Therefore there may be a delay between our acceptance of your additional Contribution and it being invested.

Transaction Account

We recommend that you keep approximately 2% of your additional Contribution in the Transaction Account held with Old Mutual Isle of Man to cover ongoing charges.

What proportion, if any, of your additional Contribution would you like allocated to the Transaction Account held with Old Mutual Isle of Man? %

No interest will be paid for any cash balance in the Transaction Account held with us.

Please note, it is your fund adviser's, also known as your Discretionary Investment Manager's, responsibility to ensure liquid assets are available to pay ongoing charges.

Where the deduction of charges leads to a debit balance in the Transaction Account, please see the Investment Portfolio+ General Conditions for further detail.

Investment

Please indicate (✓) whether you wish your additional investment to be invested:

In the same funds and same proportions as your original contract.

Please note: If your additional investment amount results in the total investment amount being greater than £100, 000 (or currency equivalent of) and you wish to add an Authorised Custodian Facility, you must complete section C and E of the Investment Portfolio+ application form, including the Letter of Authority.

As per the following internal fund allocation:

Fund Name ¹	Fund Identifier ²	Fund Currency	Proportion (%)
Additional Funds must total 100%			100%

¹For a list of available funds, please refer to the Fund Factsheets and Investment Choices list available from your financial adviser.

²Please refer to Fund Factsheets and Investment Choices list for relevant Fund Identifier.



C Charges

Please see Terms 18 to 21 of the General Conditions for information on charges which may apply to your Investment Portfolio+ or speak to your financial adviser.

The charging option and currency that you chose for your Investment Portfolio+ cannot be changed now that it has started and will apply to any additional Contributions which are made. This includes details about your chosen financial adviser. We do however require you to reconfirm certain fee information below.

Please refer to the Investment Portfolio+ Investment Choices Brochure and General Conditions for fee information.

Financial adviser Commission and Fees

Please Note: Charging options cannot be changed. The Commission / Advice Fee percentage for the additional investment should be completed in the relevant charging section below.

CHARGING OPTION 1

Commission payable to your financial adviser

(Maximum of 3% of your contribution amount. **VAT will be added if applicable.**)

Additional Commission to be paid %

Additional Commission being waived %

(Total 3%)

Any commission being waived should be used to (✓) reduce the Contract Establishment Charge
OR enhance the Allocation Percentage

CHARGING OPTION 2

Advice Fee

Subject to a maximum of 3% or 3.45% if VAT is applicable. Please note – only the % sum stated in the box below will be paid.

- The Advice Fee is an amount that you have agreed to pay your financial adviser for providing you with advice.
- This amount will be deducted by Old Mutual Isle of Man on your instructions prior to investing the additional Contribution and is based on your additional Contribution.
- For clarity, the Advice Fee is not a commission payment paid by Old Mutual Isle of Man.

Advice Fee %



D Source of Funding and Origin of Wealth

THIS SECTION MUST BE COMPLETED IN ALL INSTANCES. PLEASE NOTE THIS SECTION CONTINUES ON THE FOLLOWING THREE PAGES.

The investment amount will be invested after all requirements have been met and, where applicable, after the SARS (South African Revenue Service) Application for a Tax Clearance Certificate has been received.

Source of funds

Please complete (a) and/or (b) as appropriate.

For Contributions from multiple bank accounts, please photocopy this page and complete for each bank account and provide reasons for multiple payments.

Reasons for multiple payments:

(a) Payment from Corporate Contract Holder

Payment amount	<input type="text"/>	Payment currency	<input type="text"/>
Bank name	<input type="text"/>		
Bank address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
Account holder's name (as stated on bank account)	<input type="text"/>		
Bank account number/ IBAN*	<input type="text"/>		
Sort code ** (if applicable)	<input type="text"/> - <input type="text"/> - <input type="text"/>	SWIFT or BIC code** (if applicable)	<input type="text"/>
Bank account currency	<input type="text"/>	How long have you held this account?	<input type="text"/> years <input type="text"/> months

* 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 Europe in conjunction with an IBAN.

OR

(b) Third party payments

Third party payments, such as payments made by persons other than the Corporate Contract Holder, are not normally acceptable. However, we may accept payments in the following situations and with the following additional documentation. Please tick as applicable (✓)

- Payment from another financial services institution, where the previous investment was held by the Corporate Contract Holders.**

Copy documentation showing the investment and the payment.

(Note: payment from unregulated companies or from certain jurisdictions may not be acceptable.)

Please refer to Section F for certification requirements.



D Source of Funding and Origin of Wealth (continued)

Full details of origin of wealth

PLEASE TICK THE DESCRIPTION OPTION(S) RELATING TO THE ORIGINAL SOURCE OF THE ADDITIONAL CONTRIBUTION FOR YOUR INVESTMENT PORTFOLIO+ (✓). YOU MUST FULLY COMPLETE EACH RELEVANT SECTION RELATING TO THE DESCRIPTION OPTION(S) YOU HAVE TICKED.

Description	Details required	Your details
<input type="radio"/> Income from your business	Trading company: latest annual report and accounts Non-trading company: details of yearly profits	Total gross income/profits: (please specify currency) <input type="text"/>
<input type="radio"/> Accumulated savings/ investments	Amount of savings/investments Savings/investments held for Details of where funds are held: Account holder (name as stated on account) Account number Name of financial institution/bank	Amount: (please specify currency) <input type="text"/> <input type="text"/> <input type="text"/> years <input type="text"/> <input type="text"/> months <input type="text"/> <input type="text"/> <input type="text"/>



D Source of Funding and Origin of Wealth (continued)

Full details of origin of wealth (continued)

PLEASE TICK THE DESCRIPTION OPTION(S) RELATING TO THE ORIGINAL SOURCE OF THE ADDITIONAL CONTRIBUTION FOR YOUR INVESTMENT PORTFOLIO+ (✓).

YOU MUST FULLY COMPLETE EACH RELEVANT SECTION RELATING TO THE DESCRIPTION OPTION(S) YOU HAVE TICKED.

<input type="radio"/>	Sale of shares	Name of company that held your shares/investment/policy (for example bank stockbroker or insurance company)	<input type="text"/>
<input type="radio"/>	Dividends		
<input type="radio"/>	Maturing investments	Name of person who held the shares/investment/policy	<input type="text"/>
<input type="radio"/>	Policy claim		
<input type="radio"/>	Replacement policy	How were they sold? (i.e. bank, stockbroker or other agent, if applicable)	<input type="text"/>
		Description of shares sold (if applicable)	<input type="text"/>
		Reason for policy claim or replacement policy (if applicable)	<input type="text"/> <input type="text"/> <input type="text"/>
		Total amount paid out (please specify currency)	<input type="text"/>
		Surrender penalty incurred (if any)	<input type="text"/>
		Date received	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Shares/investment/policy held for	<input type="text"/> <input type="text"/> years <input type="text"/> <input type="text"/> months

<input type="radio"/>	Sale of property/interest in company	Name of company (if applicable)	<input type="text"/>
		Address of property/company sold (including postcode if applicable)	<input type="text"/> <input type="text"/> <input type="text"/>
		Nature of business (if company sale)	<input type="text"/>
		Total sale amount (please specify currency)	<input type="text"/>
		Amount received	<input type="text"/>
		Date received	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



D Source of Funding and Origin of Wealth (continued)

Full details of origin of wealth (continued)

PLEASE TICK THE DESCRIPTION OPTION(S) RELATING TO THE ORIGINAL SOURCE OF THE ADDITIONAL CONTRIBUTION FOR THE COMPANY'S INVESTMENT PORTFOLIO+ (✓).
YOU MUST FULLY COMPLETE EACH RELEVANT SECTION RELATING TO THE DESCRIPTION OPTION(S) YOU HAVE TICKED.

<input type="radio"/> Other unearned income	Origin of wealth (if ticked gift or other)	<input type="text"/>
<input type="radio"/> Inheritance	From which organisation or whom (state the relationship if applicable)	<input type="text"/>
<input type="radio"/> Loan		<input type="text"/>
<input type="radio"/> Gift		<input type="text"/>
<input type="radio"/> Compensation		
<input type="radio"/> Competition or gambling win	Details (including reasons where applicable, how the money was acquired, etc.)	<input type="text"/>
<input type="radio"/> Other		<input type="text"/>
	Amount (please specify currency)	<input type="text"/>
	Date received	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>

We may also require additional documentary evidence to support your additional investment, particularly in relation to your country of residence, source of funding and investment amount, before we can process it.

Your financial adviser can establish if further documentary evidence is needed by contacting us before sending in your Additional Investment Form.

Please enter what documentary evidence you are enclosing with this Additional Investment Form (if applicable).



E Declaration and application

THIS SECTION MUST BE READ, UNDERSTOOD AND COMPLETED IN ALL CASES BY EACH AUTHORISED SIGNATORY ON BEHALF OF THE COMPANY.

Application

The Company hereby requests that the Company's additional investment be applied proportionately across the number of Contracts in the Company's existing Investment Portfolio+.

Each of these Investment Portfolio+ Contracts is invested in the Portfolio Fund.

Warranty

The Company warrants that all the information given in this Additional Investment Form, and in all documents which have been or will be signed by the authorised signatories in connection with the Contract(s), whether in handwriting or not, is true and complete.

Declarations

The Company understand and agree that:

1. All the terms and conditions from the original contract applies to this additional investment.
2. The information provided and referred to in the Warranty above, forms the basis on which Old Mutual Isle of Man decides whether to accept the additional investment for the Company.
3. Any mis-statement or omission herein may lead to any Contract(s) made being declared void by Old Mutual Isle of Man or the Investment Portfolio+ General Conditions being varied by Old Mutual Isle of Man. In such an event, the Company will be entitled to receive the additional investment back, less all charges, costs and currency and/or investment losses incurred.
4. Should this Additional Investment Form be accepted by Old Mutual Isle of Man, it will be conditional upon there having been no material alteration to the facts on which the acceptance was based.
5. No statement, whether made by the Company or by the person canvassing for or handling this Additional Investment Form or by any other person, shall be binding upon Old Mutual Isle of Man unless the same be in writing, submitted to Old Mutual Isle of Man and made part of the Contract(s).
6. The addition to the Contract(s) will be concluded in the Isle of Man upon acceptance of the application by Old Mutual Isle of Man and will be governed by the laws of the Isle of Man.
7. Communication of acceptance by Old Mutual Isle of Man will not be given and the Company does not require such communication for the additional investment to be added to the Contract(s).
8. The additional contribution will form part of the Company's original contract.
9. No representation, guarantee or warranty is made by Old Mutual Isle of Man as to the performance or investment returns of the underlying investment options selected by the Contract Holder(s). Old Mutual Isle of Man shall have no liability to the Company for any losses suffered by the Company as a result of the authorised signatories' failure on behalf of the Company:
 - i. to read about and understand the nature of the investment in the underlying investment options;
 - ii. to have read and understood the information provided to the Company concerning investment in the Contract(s) and its underlying investment options;
 - iii. to have acquainted the Company with all charges payable in respect of investment in the Contract(s) and its underlying investment options;
 - iv. to have obtained (or, having obtained, to have acted upon) advice concerning the appropriateness of the additional investment for the Company's financial circumstances (including, but not limited to, the legislative and fiscal regimes of the Company's country of establishment which might affect the Contract(s) and any benefits payable thereunder);
 - v. to have reviewed regularly the continued suitability of the Contract(s).
10. Due to fluctuations in relative values of international currencies, there may be a risk of a reduction in the value of the capital invested when measured in any particular currency, and after currency conversions, the additional investment minimum must be attained as per the Investment Portfolio+ Key Features Document.
11. The Company bears the risk of changes in fund price or foreign exchange rates (if any) which may occur from the date of transfer of this Additional Investment to the date Allocated Units are purchased or Contribution being exchanged to a different currency.
12. Old Mutual Isle of Man will not accept or record a Security Cession where the cessionary is a South African resident until it is shown to the satisfaction of Old Mutual Isle of Man that the cessionary is in receipt of the requisite tax and South African Reserve Bank clearances.
13.
 - a. A Security Cession will take precedence over any Beneficiary Nomination received and accepted by us;
 - b. Any absolute assignment will invalidate any Beneficiary Nomination immediately.
14. All additional contributions are payable and have to be accepted in the Isle of Man in US Dollars, Euro, Sterling, Australian Dollars or Swiss Francs as denominated in the Contract(s) Summary.
15. Old Mutual Isle of Man's obligation is to pay proceeds to the Company in the Contract Currency and, should the Company request payment outside the Isle of Man and/or in a currency other than the Contract Currency, the Company assumes the risk associated with the transfer and/or currency conversion and any delays which may occur in this process.
16. The Company bears the risk of the method selected for communicating this application and/or any further application or communication with Old Mutual Isle of Man and Old Mutual Isle of Man will not be liable for any loss suffered by the Company as a result of the use thereof.
17. The Company is entitled to ask for a copy of this Additional Investment Form and the Company must be given a copy within a reasonable period.
18. The Corporate Contract Holder confirms that the Corporate Contract Holder has not been, and is not in the process of being liquidated, dissolved, struck off, wound up or terminated.



E Declaration and application (continued)

Commission, charges and fees

Commission (Charging option 1 only)

1. The Company understands that Old Mutual Isle of Man will pay commission to the Company's financial adviser as indicated in Section C for introducing this business to Old Mutual Isle of Man.

Advice Fee (Charging option 2 only)

1. Where confirmed in Section C, the Company has agreed to pay an Advice Fee to the financial adviser for providing the Company with advice to invest the additional contribution in this Plan.
2. The Company instructs Old Mutual Isle of Man to deduct this Advice Fee from the additional Contribution and to pay this Fee to the financial adviser on the Company's behalf prior to the investment being made with Old Mutual Isle of Man.

Investment Review Fee (Charging option 1 and 2)

1. We understand that any Investment Review Fee that is payable to the financial adviser will also apply to this additional investment.
2. The Company instructs Old Mutual Isle of Man to disinvest enough of the Portfolio Fund value on the frequency stated and pay this fee to the financial adviser on the Company's behalf for as long as this instruction remains in force.
3. The Company understands that Old Mutual Isle of Man can only pay this fee on the Company's behalf to the financial adviser providing they have terms of business with Old Mutual Isle of Man and there is no legal or other limitation on disinvestments from the Plan.
4. Should there be a limitation on payment from the Plan then the Company will pay the financial adviser directly.

Investment Risk

1. The Company acknowledges that, by requesting to make an additional investment into the Company's existing Investment Portfolio+, the Company accepts the investment risk.
2. The Company has acquainted itself with and understood:
 - i. the Assets available, their associated risk ratings and risk factors;
 - ii. the unique characteristics, liquidity constraints, notice periods and risk warnings associated with Assets that invest in alternative investment strategies;
 - iii. all charges taken by Old Mutual Isle of Man, the financial adviser, the Authorised Custodian and, where applicable, the Discretionary Investment Manager.
3. The Company has been advised, and accepts that:
 - i. by asking Old Mutual Isle of Man, either directly or through the Discretionary Investment Manager, to include an Asset in the Company's Portfolio Fund, the Company agrees to accept the risk that, for any reason whatsoever, management of the Asset may not be in accordance with its objectives and parameters. This includes negligent and fraudulent activity. In addition the Company accepts any risk entailed in any change to such objectives and parameters and that it is the Company's responsibility to monitor the funds or deposits in which it is invested. The value of shares and units can fall as well as rise and they, as well as bank deposits and any balance on the Transaction Account held with Old Mutual Isle of Man or the Authorised Custodian, could in exceptional circumstances become valueless either temporarily because of suspension, or permanently. In the event of the insolvency of the Authorised Custodian, any cash held by them may be at risk.

The fact that Old Mutual Isle of Man may allow or refuse a particular external fund or bank deposit as an Asset does not indicate any judgement by Old Mutual Isle of Man about its investment potential or the propriety of the provider of the Asset.
 - ii. The Investment Portfolio+ may:
 - a. be invested in a variety of Asset classes and, depending on the Assets selected, they may:
 - carry no underlying guarantees; and
 - be at risk of reduction in the value of the capital invested; and
 - have limitations on liquidity.
 - b. invest in Assets which have redemption restrictions applied from time to time. If such restrictions are applied this may significantly delay the processing of encashments, benefits and claims.
 - iii. Past performance of the Assets is not a guarantee for future returns.
4. The Company understands that investments in the alternative investment strategy funds expose investors to additional risks that are not normally associated with investments in traditional asset class funds and are only suitable for the sophisticated investor who is able to and willing to accept the risks associated with such an investment, including a substantial or complete loss of capital.
5. The Company may wish to invest into professional/non-retail type investment schemes and, if so, it will make sure that it has had the opportunity to read the offering documents for funds of this nature. Where the Company decides to invest in professional/non-retail type investment schemes, the Company accepts the levels of risk associated with these, including the risk that the investment into such schemes could result in a loss of a significant proportion, or all of the sum invested.
6. The Company confirms that it is aware of the fees (if applicable) payable for the chosen investment(s) to be held in its Investment Portfolio+.

The Company understands that the fees exist partly to meet promotion and distribution expenses of the product, including commission paid to a financial adviser and/or Discretionary Investment Manager.



E Declaration and application (continued)

Country Specific

1. The Company acknowledge that the Contract shall continue to be interpreted in accordance with and governed by the laws of the Isle of Man and shall comply with applicable South African legislation, rules and regulatory requirements.
2. The Company is not established in the United States of America or its territories and possessions.
3. This/These Contract(s) is/are not available in the United States of America or its territories and possessions, nor is the Contract(s) available to residents of the United States of America or its territories and possessions. Any Company which later becomes established in the United States of America or its territories and possessions will be subject to restrictions placed on the Contract(s).
For the duration of residence/establishment, these restrictions include the suspension of the ability to buy or sell Assets.

Data Protection

The Corporate Contract Holder consents to the Corporate Contract Holder's personal data being used in accordance with the Data Privacy Notice.

HOW THE COMPANY USES YOUR INFORMATION

Details about how we use your information, your rights over this information and how you can exercise your rights can be found in our Privacy Notice. We publish our Privacy Notice on our website www.oldmutualinternational.com or you can contact us on +27 (0)21 509 2187 and request a copy. All persons whose details are collected on this form should read the Privacy Notice to understand how the data provided about them will be used.

Complaint Resolution Process

Old Mutual Isle of Man provides a complaint resolution process which aims to address any dissatisfaction the Company may have with its transaction. The Company can write to Old Mutual International Cape Town Service Centre - Old Mutual Wealth building, Mutualpark, Block 1A, Jan Smuts Drive, Pinelands, 7405.

Should the dispute remain unresolved, you can write to The Old Mutual Office of Internal Arbitration at PO Box 80, Mutualpark 7451, email arbitrator@oldmutual.com or send a fax to +27 21 504 7700.

You may contact the FAIS Ombud should you have any complaints about the advice you receive or the implementation of your investment.

Postal address

The FAIS Ombud, PO Box 74571, Lynwood Ridge 0040

Tel: 0860 324 766

Fax: (012) 348 3447

Email: info@faisombud.co.za

Website: www.faisombud.co.za

You may contact the Ombudsman for Long-Term Insurance for any long-term insurance related complaints at the following address:

Postal address

The Ombudsman for Long-Term

Insurance, Private Bag X45, Claremont 7735

Tel: (021) 657 5000

Fax: (021) 674 0951

Email: info@ombud.co.za

Website: www.ombud.co.za

Complaints & the Isle of Man Financial Services Ombudsman Scheme

Our commitment to you

We at OMLACSA IoM Branch are committed to providing high standards of service and support, but there may still be occasions when you are dissatisfied. We take complaints seriously and want to hear your concerns in order to improve our service further. This document outlines our commitment to you and what you should do if you wish to make a complaint.

What should you do?

You can make a complaint in writing (give address if not in header or footer), by letter or e-mail - service@omi-int.com alternatively you can complain by telephone +27 21 509 2187. You should write down or explain the facts in a logical order and remember to provide your policy number.

Not satisfied with our response?

If you remain unsatisfied once you have reviewed our final response letter you can refer your complaint to the Financial Services Ombudsman Scheme which provides an independent service for consumers with unresolved complaints for eligible complainants. In our final response letter, we will provide you with details of how to contact the scheme, or you can view their website at www.gov.im/oft.



E Declaration and application (continued)

Assurance Replacement Policy

These questions must always be answered by the Company.

To 'replace' an existing insurance policy means to terminate or vary an existing insurance policy as a result of cancelling or lapsing it, reducing the premiums, making it paid-up, reducing the term or surrendering the policy in part or in full.

Is this application to replace the whole or part of any of your existing insurance policy with any insurer (i.e. whether the replacement is to occur immediately, to replace an investment that was discontinued in the past four months or that will discontinue in the next four months)?

Yes No

If the answer is Yes, the financial adviser must discuss, complete and sign the Replacement Policy Advice Record (RPAR) with the Company and attach it to this Application Form.

AS AUTHORISED SIGNATORIES OF THE CORPORATE CONTRACT HOLDER, WE CONFIRM THAT WE HAVE READ AND UNDERSTOOD ALL DETAILS SUPPLIED IN THE APPLICATION FORM INCLUDING SECTION F IN ITS ENTIRETY AND UNDERSTAND ITS IMPLICATIONS.

Authorised signatories

Name of Signatory 1	<input type="text"/>						
Signature of Signatory 1	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Capacity	<input type="text"/>	Country where signed	<input type="text"/>				
Name of Signatory 2 (if any)	<input type="text"/>						
Signature of Signatory 2	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Capacity	<input type="text"/>	Country where signed	<input type="text"/>				



F Verification of customer identity – financial adviser to complete

THIS SECTION MUST BE READ, UNDERSTOOD AND COMPLETED IN ALL CASES.

Old Mutual Isle of Man is subject to anti-money laundering and countering terrorist financing legislation in South Africa and the Isle of Man, in terms of which, contract holders and related parties must submit suitably certified proof of identity and original or suitably certified verification of residential address.

In certain circumstances, it may be necessary to submit such documentation even if it has already been provided. Outlined below are the standard minimum requirements. In some circumstances we may need additional information.

Corporate details

Enclosed (✓)

- | | |
|---|--------------------------|
| 1. A list of Director's names. | <input type="checkbox"/> |
| 2. Verification of the identity of at least two Directors, one of whom must be an Executive Director. | <input type="checkbox"/> |
| 3. A list of authorised signatories, specimen signatures and evidence of their signing power(s). | <input type="checkbox"/> |
| 4. The company's notice/certificate of incorporation or other official registration document. | <input type="checkbox"/> |
| 5. Evidence of the registered office of the company. If this is not the address on this application, evidence that the applicant is using the address and the reason for that address being used. | <input type="checkbox"/> |
| 6. Trading company - a copy of the latest annual report and accounts. | <input type="checkbox"/> |
| 7. Non-trading company - evidence of the origin of wealth. | <input type="checkbox"/> |
| 8. Verification of the identity of all shareholders holding 25% or more of the issued share capital as at the date of this application. Where it is a holding company, trust or nominee the identity of the ultimate beneficial owner or those who have ultimate control over the business and company's assets must be verified. | <input type="checkbox"/> |
| 9. If the company share capital is in bearer form or may be converted to bearer form, please indicate here and contact your Regional Offshore Specialist. | <input type="checkbox"/> |

All information should be provided on letterhead.

Confidentiality

Any information given by the client(s) or their financial adviser will be used solely by members of the Old Mutual groups of companies.

We require one document from Part A and one from Part B.

Identification documentation should be current and valid. Evidence of address should be the latest available, but no more than three months old.

Please tick (✓) to indicate the identification you have supplied for each individual party to the Plan. If a Fund Adviser has been appointed, we may need to verify the identity of the appointee.

If there are more than two authorised signatories, please attach a further copy of this page to the Application.

Part A	Authorised Signatory whose identity is being verified	
1. Name	<input style="width: 100%;" type="text"/>	
Capacity	<input style="width: 100%;" type="text"/>	
Type of document	<input style="width: 100%;" type="text"/>	
Document reference	<input type="radio"/> Passport <input type="radio"/> National Identity Document	
2. Name	<input style="width: 100%;" type="text"/>	
Capacity	<input style="width: 100%;" type="text"/>	
Type of document	<input style="width: 100%;" type="text"/>	
Document reference	<input type="radio"/> Passport <input type="radio"/> National Identity Document	

Part B	Authorised Signatory whose identity is being verified	
These must be no more than three months old	1	2
1. A recent utility, rates or council tax bill (cell phone bills not acceptable)	<input type="checkbox"/>	<input type="checkbox"/>
2. A recent mortgage statement, evidencing the residential address	<input type="checkbox"/>	<input type="checkbox"/>
3. A state pension, benefit or other government produced document showing benefit entitlement	<input type="checkbox"/>	<input type="checkbox"/>
4. A recent tax assessment document	<input type="checkbox"/>	<input type="checkbox"/>
5. A recent account statement from bank or credit card (store cards not acceptable)	<input type="checkbox"/>	<input type="checkbox"/>
6. Proof of ownership or rental of the residential address	<input type="checkbox"/>	<input type="checkbox"/>



F Verification of customer identity – financial adviser to complete (continued)

Part C Financial crime – risk rating

Please refer to the Origin of Wealth Guidelines (available on our website www.oldmutualinternational.com) for information on how to complete the table below.

To prevent financial crime, Isle of Man licensed entities may adopt a 'risk-based approach' when obtaining evidence of the origin of a client's wealth. In order to speed up the application process we have provided you with the table below to allow you to find out your client's risk rating before submitting the Additional Investment Form to us. We highly recommend that you complete the risk rating as it allows you to determine if you need to enclose further documentary evidence with the Additional Investment Form or not. If we do not receive the necessary documentary evidence with the Additional Investment Form, then it will take longer to process the additional investment.

In order to decide what risk rating applies to your client's investment you need to take into account the following factors:

- a. your client's country of residence
- b. which country the contribution is paid from
- c. (a) + (b) = total risk rating

Corporate Contract Holder	Client country of incorporation (a)	Country of premium funding (b)*	Total risk rating
Example	South Africa (1)	Mauritius (2)	(3)

* If paying from multiple jurisdictions, the country of funding rating needs to reflect the highest rated country.

Old Mutual Isle of Man reserves the right to request further documentation if it is felt appropriate.

Please note that each new application, or application for an additional investment, will be reviewed individually. If you are unsure about a particular application, please contact your Offshore Specialist or your local office.

Financial adviser declaration

Please ensure that the Declaration in section A below is signed and dated.

Complete the relevant sections as detailed below:

- Financial advisers – Complete sections A, B.1 and B.2 as appropriate
- Old Mutual PFA – Complete sections A, B.2, and C
- Old Mutual International Offshore Specialists – Complete sections A and B.2

A Declarations – Must be completed by the financial adviser, Old Mutual PFA or Old Mutual Offshore Specialist

I declare that:

- I have verified the contents of the original documents where copies have been enclosed and confirm that they are true copies of the originals.
- I have taken reasonable steps to make sure that the funding is legitimate and in line with the client's circumstances.
- To the best of my knowledge and belief, all the information provided in and with this Additional Investment form is true and complete and was obtained from the Corporate Contract Holder(s) who is/are of good standing. I also confirm that I will provide further information if required.
- I have not made any changes to the Additional Investment Form after the client has signed it.

I confirm that I gave advice concerning this investment to the Corporate Contract Holder(s) in

country

on

I confirm that, if applicable, all information provided was received directly from the Corporate Contract Holder(s).

Signature of financial adviser

Date

Country where signed



F Verification of customer identity – financial adviser to complete (continued)

B To be completed by Financial Adviser

B.1 Old Mutual Broker Division

Broker Consultant name

Broker Consultant number

B.2 Old Mutual International Offshore Specialist

Specialist name

Location (Town and Country)

Code

C To be completed by Old Mutual PFA only

Information supplied by financial adviser
(All information provided is for Old Mutual PFA use only and is not part of the Contract)

Name(s) of introducer(s) (If Independent Contractor, include address)	Codes Sales Centre	% Split Intermediary			Commission	Figures



INTERNATIONAL

www.oldmutualinternational.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 is incorporated in South Africa (reg. number: 1999/04643/06). Registered office: Mutualpark, Jan Smuts Drive, Pinelands, Cape Town, South Africa. Old Mutual Life Assurance Company (South Africa) Limited is a registered long-term insurer and a licensed financial services provider.

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