

## HEDGE FUND PORTFOLIOS CHANGE OF INVESTOR INFORMATION AND DETAILS INSTRUCTION FORM

### IMPORTANT INFORMATION

- 1.1 H4 Collective Investments (RF) (Pty) Ltd ("H4") is registered as a collective investment scheme manager under the Collective Investment Schemes Control Act, No. 45 of 2002.
- 1.2 The terms and conditions agreed to in the application form will remain in force and apply to this Change of Investor details instruction form
- 1.3 Complete all the information on the form to ensure that there is no delay in processing this form.
- 1.4 Please initial next to any amendments that you have made on this form.
- 1.5 If you wish to appoint or remove a financial adviser, please complete the **Financial Adviser Form**.
- 1.6 If you wish to appoint or change the person acting on behalf of the Investor in a legal capacity (e.g. guardian of a minor/in terms of a power of attorney/court order), please complete this form and the **Legal Incapacity/3rd Party Representing the Investor Form**.
- 1.7 If you wish to add or change details of a controlling person or representative of an entity, please complete Annexure B of the **Peregrine Capital Application Form for Entities**.
- 1.8 If you wish to start a debit order, please complete the **Additional Investment Form**.
- 1.9 If you wish to change an existing debit order instruction, please complete the **Change of Debit Order Instruction Form**.
- 1.10 All documents and forms are available from H4 on request by you, or at [www.peregrine.co.za](http://www.peregrine.co.za).

### SEND THE DOCUMENTS

- 1.11 Send the documents listed below to [hedge@h4ci.co.za](mailto:hedge@h4ci.co.za)
  - Completed change of investor details instruction form
  - Any related forms (e.g. **Legal Incapacity/3rd Party Representing the Investor Form** or **Financial Adviser Form**) and any supporting documents to those forms, if applicable
  - In certain instances H4 may contact you requesting additional documents
- 1.12 If you have any questions, please contact H4 on **086 000 7993** or [hedge@h4ci.co.za](mailto:hedge@h4ci.co.za).

## 1. Investor information

Investor number			
Name & Surname/Entity name			
Identity/passport/registration number			
Contact details	Full name		
	Mobile		Work
	Email address		

## 2. Change to Investor information

### Notes:

- If the Investor's name is changing, please provide updated copy of your South African bar-coded ID or South African Smart Card ID (marriage certificate or order of divorce), valid passport (if foreign national), birth certificate (for a minor) or CM9/CoR 14 (for an entity)
- If your address is changing, please submit verification of the new address (e.g. bank statement, utility bill or telephone account less than 3 months old)

New individual/entity name	
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### Type of physical address change

Business address	Residential address	Head office address	Registered address
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### New residential address

Unit number		Complex name	
Street number		Street/Farm	
Suburb			
City/Town		Postal code	
Country			

### New postal address

PO Box No.		Private Bag No.		Postnet Suite No.	
Suburb				Postal code	

### New contact particulars

(International dialling code + area code + number)

Home		Work	
Mobile			

### New or additional email addresses

Type of email address change	replacement email address	delete email address	additional email address
Email addresses to delete			
New email addresses			

### 3. New bank account details

**Notes:** Please provide verification of the Investor's bank details (e.g. cancelled cheque or bank statement, less than three months old)

Name of account holder			
Name of bank			
Branch code			
Account number			
Type of account	Current	Savings	Transmission

### 4. Investor profile information required in terms of the Financial Intelligence Centre Act, No. 38 of 2001 ("FICA")

#### Notes:

- The law requires that H4 knows the source of the Investor's income/ wealth before H4 can process this application.
- Please complete this section if there has been any change relating to your source of income/ wealth or if you have become politically prominent or exposed or has a family member or associate who is politically prominent or exposed since your initial investment

4.1 **Source of the Investor's income/ wealth**

Please indicate the Investor's source(s) of income/ wealth

**Notes:**

- This refers to the Investor's source(s) of income/ wealth and does not refer to the source of the funds to be invested in terms of this application
- In order for H4 to comply with the provisions of FICA, H4 may require additional documentation e.g. payslip, financial statements, and/or dividend statements

Salary	Pension	Own Business	Loan(s)	Investment Income
Company profit	Capital	Other (specify)		

Please supply the following information with regards to the Investor's primary source(s) of income

<b>Salary</b>	
Name of employer	
Nature of the employer's business/trade/industry	
Position held by the Investor at employer	
Address of employer	
Contact telephone number of employer	
<b>Pension</b>	
Name of fund/insurer providing pension	
<b>Own Business</b>	
Name of business	
Nature of business	
Industry of business	
Address of employer	
Contact number of business	
<b>Investment income</b>	
Details on the nature of the investments	
<b>Company profit</b>	
Details of business trading activities	

If the Investor does not operate on a profit basis, e.g. if the investor is a charity, please advise how Investor is valued, or how its wealth is determined	
<b>Capital</b>	
Source of capital	
<b>Loan(s)</b>	
Source of loan(s), e.g. bank/shareholder/director etc.	
If the lender is not an entity that provides loans in the normal course of business, then please provide additional detail on the lender, such as full names/registered name and identity/passport/registration number	
<b>Other</b>	
Please provide details	

**4.2 Domestic Prominent Influential Person or a Foreign Prominent Public Official**

Is the Investor a Domestic Prominent Influential Person or a Foreign Prominent Public Official? (Please refer to Annexure A for a list of the functions this refers to).

Yes No

If "Yes", please provide details of position held

Is the Investor a family member or a close associate of a Domestic Prominent Influential Person or a Foreign Prominent Public Official? (Please refer to Annexure A for a list of the functions this refers to)

Yes No

If "Yes", please provide details of position held, including the nature of the relationship

**4.3 Contracts with any local, provincial or national government body or the judiciary, the military, or any state owned entity**

Does the Investor have any contracts with any local, provincial or national government body or the judiciary, the military, or any state owned entity?

Yes No

If "Yes", please provide details of such contracts

**4.4 Links to other countries**

Please indicate if the Investor has links, business and/or close personal links with regular contact, with a country outside South Africa

Yes No

If the answer is "Yes", please state the country(ies) and nature of the links

**5. Person that must be removed from my investment profile**

Title		Initial(s)	
First name(s)		Surname	
Relationship to Investor			

Title		Initial(s)	
First name(s)		Surname	
Relationship to Investor			

**6. Change in income distribution selection**

**Notes:** Please make a selection for the Investor’s income distribution that will be effective on the next distribution date  
 Distributions to be reinvested; or  
 Distributions to be paid directly into the Investor’s bank account

**7. Investor declaration and consent**

By signing below, I/we, the Investor (or for and on behalf of the Investor), confirm that:

- 7.1 I am/we are responsible for the accuracy and completeness of all answers, statements or other information provided by me/us or on the Investor’s behalf;
- 7.2 I/we understand that H4 may be legally obliged to disclose the information contained in this form to the South African Revenue Services, and do not object to this disclosure;
- 7.3 I/we hereby waive any claims against the Portfolio(s), Peregrine Capital, H4 and any of their employees, officers and agents for liability, loss, damage or expense in connection with taxes, penalties or interest levied on the Investor. Any such person may accept the benefit of this waiver at any time in any manner;
- 7.4 I/we agree to compensate H4 and its employees, agents, officers and directors for all liability, loss, damage and expense that results directly or indirectly from H4 having acted on any information provided by me/us or on the Investor’s behalf, in or pursuant to this form.

By signing below, I/we, the Investor (or for and on behalf of the Investor), represent and warrant that:

- 7.5 if this form is signed in a representative capacity, I/we have the necessary authority to do so and that this transaction is within our powers;
- 7.6 all information provided in this form and all other documents signed by me/us in connection with this form, whether in my/our handwriting or not, is true and correct;
- 7.7 I am/we are responsible for the accuracy and completeness of all answers, statements or other information provided by me/us or on the Investor’s behalf.

1st Signatory				
Name		Signature (or duly authorised representative)		Date
2nd Signatory				
Name		Signature (or duly authorised representative)		Date

## ANNEXURE A FICA GLOSSARY

### 1. Associates

Associates in relation to a Domestic Prominent Influential Person and a Foreign Prominent Public Official include, but are not limited to, the following relationships: known intimate partners outside the family unit; prominent members of the same political party, civil organization, labour or employee union as the prominent person; business partners or associates; anyone who has sole beneficial ownership of a corporate vehicle set up for the actual benefit of the prominent person.

### 2. Business relationship

Business relationship means a business relationship entered into with the expectation that engagements will recur over a period of time.

### 3. Domestic prominent influential persons

A person is considered to be a domestic prominent influential person if he or she holds that position in South Africa, including in an acting position for a period exceeding six months, or the immediate family of such person. A person is also considered to be a domestic prominent influential person for a further 12 months from the date the person ceased to hold that position and includes, but is not limited to:

- 3.1. The President or Deputy President (<http://www.gov.za/about-government/leaders>);
- 3.2. A government minister or deputy minister (<http://www.gov.za/about-government/leaders>);
- 3.3. The Premier of a province (<http://www.gov.za/links/provincial-government>);
- 3.4. A member of the Executive Council of a province (<http://www.gov.za/links/provincial-government>);
- 3.5. An executive mayor of a municipality elected in terms of the Local Government Municipal Structures Act, 1998 (<http://www.salga.org.za/Municipalities%20MCD.html>);
- 3.6. A leader of a political party registered in terms of the Electoral Commission Act, 1996. The leader of a political party is the person identified by the party to occupy the position of the highest level of authority in the party (<http://www.elections.org.za/content/Parties/Political-party-list>);
- 3.7. A member of the royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003. The description of a "senior" traditional leader, therefore, applies to such traditional leaders who exercise authority over a number of headmen or headwomen in accordance with customary law, or within whose area of jurisdiction a number of headmen or headwomen exercise authority (<http://www.cogta.gov.za/?p=938>);
- 3.8. The head accounting officer or chief financial officer of a national or provincial department or government component as defined in section 1 of the Public Service Act, 1994 ([http://www.gcis.gov.za/gcis/pdf/government\\_28.pdf](http://www.gcis.gov.za/gcis/pdf/government_28.pdf));
- 3.9. The municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal systems Act, 2000 or a chief financial officer designated in terms of section 80(2) of the Municipal Finance Management Act, 1999 (<http://www.salga.org.za/Municipalities%20MCD.html>);
- 3.10. The chairperson of the controlling body, the chief executive officer or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999 (<http://www.gcis.gov.za/content/resourcecentre/contactdirectory/government-structures-and-parastatals>);
- 3.11. The chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) (<http://www.govpage.co.za/municipal-entities.html>);
- 3.12. A constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001 (<http://www.judiciary.org.za/index.html>);
- 3.13. An ambassador or high commissioner or other senior representative of a foreign government based in the Republic of South Africa (<http://www.dirco.gov.za/foreign/forrep/index.htm>);
- 3.14. An officer of the South African National Defence Force above the rank of major-general
- 3.15. Note: This will include persons holding the position of General and Lieutenant General in the South African National Defence Force. (<http://www.dod.mil.za/leaders/leaders.htm>);
- 3.16. The position of:
  - 3.16.1. Chairperson of the board of directors;
  - 3.16.2. Chairperson of the audit committee;
  - 3.16.3. Executive officer; or
  - 3.16.4. Chief financial officer of a company, as defined in the Companies Act, 2008;
  - 3.16.5. the position of head, or other executive directly accountable to that head, of an international organization based in the Republic

if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister of Finance by notice in the Gazette;

For additional reference please refer to: <http://www.fatf-gafi.org/media/fatf/documents/recommendations/Guidance-PEPRec12-22.pdf>.

#### **4. Family members**

Family members in relation to a Domestic Prominent Influential Person and a Foreign Prominent Public Official includes such person's spouse, civil or life partner; the previous spouse, civil or life partner; the person's children and step children and their spouse, civil or life partner; such person's parents and siblings, step siblings and their spouse, civil or life partner.

#### **5. Foreign prominent public official**

A person is considered to be a foreign prominent influential person if he or she holds that position or has held the position in a foreign country for a period of at least 12 months after the date on which that person ceased to hold that position, and includes but is not limited to:

Head of State or head of a country or government;

Member of a foreign royal family;

Government minister or equivalent senior politician or leader of a political party;

Senior judicial official;

Senior executive of a state owned corporation; or

High-ranking member of the military.

#### **6. Source of funds**

Source of funds means the origin of the monies involved in a business relationship or single transaction. This includes the activity which produced the monies used in the business relationship or single transaction.

#### **7. Source of income**

Source of income means the activities or circumstances that have produced or resulted in the total net worth of the person.