

HEDGE FUND PORTFOLIOS FINANCIAL ADVISER 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 H4 has appointed Peregrine Capital (Pty) Ltd ("Peregrine Capital") as the discretionary hedge fund manager of the Portfolios in Section 3 ("the Portfolios" or "the Investments").
- 1.3 Please complete this form if you have appointed a financial adviser (the "FSP" or "financial adviser").
- 1.4 All documents and forms are available from H4 on request by you, or at www.peregrine.co.za.
- 1.5 Read the latest **H4 Hedge Fund Portfolios Terms and Conditions** and the **Key Investor Information Document(s)**.

COMPLETE THE FORM

- 1.6 Complete all the information on the financial adviser form to ensure that there is no delay in processing this form.
- 1.7 Please initial next to any amendments that you have made on this form.

SEND THE DOCUMENTS

- 1.8 Send the documents listed below to hedge@h4ci.co.za
 - Completed financial adviser form
 - If applicable, copy of the discretionary mandate between the Investor and the FSP
 - If applicable, application for Financial Services Provider Contract, which is available from H4 at hedge@h4ci.co.za
 - In certain instances H4 may contact you requesting additional documents
- 1.9 If you have any questions, please contact H4 on **086 000 7993** or 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		

Please indicate if the Investor is:

- appointing a financial adviser, please complete Section 2.1
- changing the representative of the FSP, please complete Section 2.2
- agreeing to pay fees to a FSP, please complete Section 3.1
- changing fees payable to a FSP, please complete Section 3.5
- removing a financial adviser, please complete Section 7

2. Financial adviser information

2.1 Appointing a financial adviser

Full name of Financial Services Provider ("FSP")			
FSP license number			
FSP license category	Category I	Category II	Category IIA
Full name of financial adviser (representative of the FSP)			

ID number	
Appointment date (must be the first calendar day of the month)	

Financial adviser's contact details

(international dialling code + area code + number)

Work		Mobile	
Email address			

Business address

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

2.2 Change the representative of the FSP

I/We, the Investor hereby inform H4 that the representative of the FSP as identified below, is no longer my/our appointed financial adviser and instruct H4 to remove the representative of the FSP from my/our investment/s (where applicable). I/we instruct H4 to replace the representative with the representative of the FSP as identified below.

Full name of Financial Services Provider ("FSP")	
FSP license number	
Full name of existing appointed representative to be removed	
ID number	
Full name of representative to be appointed	
ID number	
Date of representative change (must be the last calendar day of the month)	

3. Negotiable Financial Adviser fees

3.1 Paying fees to a FSP

I/We, the Investor, agree to the following negotiated fees to be paid to the FSP on the Portfolio(s) selected, until otherwise specified

Portfolios	Fee
Peregrine Capital High Growth H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
Peregrine Capital Pure Hedge H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
Peregrine Capital Dynamic Alpha H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio

Portfolios		Fee
	Peregrine Capital High Growth H4 Retail Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
	Peregrine Capital Pure Hedge H4 Retail Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio

3.2 The FSP has a Financial Services Provider Contract with H4

Yes No

3.3 If "No", the FSP must complete and submit an Application for Financial Services Provider Contract, and enter into an Agreement with H4, in order for H4 to facilitate the payment of the fees to the FSP.

3.4 The fee is charged by means of the withdrawal of participatory interests from the relevant Portfolio. The fee is calculated daily based on the latest available price, and paid monthly in arrears to the financial adviser.

3.5 Change the financial adviser fees

I/We, the Investor, instruct H4 to change the negotiated fees payable to my/our FSP on the Portfolio(s) selected, until otherwise specified

Portfolios		Fee
	Peregrine Capital High Growth H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
	Peregrine Capital Pure Hedge H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
	Peregrine Capital Dynamic Alpha H4 QI Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
	Peregrine Capital High Growth H4 Retail Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio
	Peregrine Capital Pure Hedge H4 Retail Hedge Fund	_____ % (per annum, excluding VAT) of the market value of the Portfolio

4. Who should H4 communicate with?

Who should H4 communicate with? Investor Financial adviser Both

If "Both" option is selected, the Investor's transaction confirmations, statements and other communication will be sent to both the Investor and financial adviser.

5. Authorisation for your financial adviser to submit instructions on your behalf

5.1 If the FSP holds a Category II licence with the Financial Sector Conduct Authority, and the Investor has entered into a discretionary mandate with the FSP, the Investor may authorise the FSP to submit instructions to withdraw, purchase or otherwise deal with Investment instructions ("instructions") on behalf of the Investor.

5.2 The Investor has entered into a mandate with this FSP to exercise discretion over the Investor's Investment(s) and submit instructions on behalf of the Investor

Yes No

If "Yes", please submit a copy of the discretionary mandate to H4 with this form and complete Annexure A.

6. Financial adviser declaration and consent

By signing below, I declare that:

6.1 I am the licensed FSP, or representative of the licensed FSP, referred to in Section 2, and I am licensed and authorised to render financial services in respect of participatory interests in hedge funds;

6.2 I have made all disclosures to the Investor as required by the Financial Advisory and Intermediary Services Act, No. 37 of 2002, Collective Investment Schemes Control Act, No. 45 of 2002, and any subordinate legislation thereto;

6.3 I have explained all fees that relate to the Portfolios to the Investor;

6.4 I acknowledge and accept that the Investor may instruct H4 in writing, including an electronic instruction, at any time, to cease paying the fees, or to vary the amount of fees, to me

- 6.5 I consent to H4 collecting, processing, storing and sharing my personal information in the normal course of business and according to the H4 Hedge Fund Portfolios Terms and Conditions;
- 6.6 I acknowledge that any personal information supplied to H4 is provided voluntarily to H4;
- 6.7 I agree that my personal information may be collected and verified from another source, if not collected directly from me.

Signature of Financial Adviser:			
Name		Signature	Date

7. Existing financial adviser that must be removed from my investment profile

I/we, the Investor hereby inform H4 that the FSP as identified below, is no longer my/our appointed financial adviser and instruct H4 to remove the FSP from my/our investment/s and to cease paying the financial adviser fees (where applicable) to this financial adviser from the termination date provided.

Full name of Financial Services Provider ("FSP")	
FSP license number	
Full name of financial adviser	
ID number	
Termination date (must be the last calendar day of the month)	

8. Investor declaration and authorisation

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

- 8.1 the financial adviser, as authorised representative of the FSP detailed in Section 2, is my appointed financial adviser;
- 8.2 I/we acknowledge and agree that my/our appointed financial adviser will have access to my/our Investment details;
- 8.3 where I/we have entered into a discretionary mandate with my/our financial adviser –
 - 8.3.1 I/we authorise H4 to accept all instructions, including electronic instructions, submitted by my/our financial adviser on my/our behalf;
 - 8.3.2 I/we understand that if a copy of the discretionary mandate is not provided to H4, then H4 is not authorised to accept instructions submitted on my/our behalf from my/our financial adviser, and H4 will not act on instructions from my/our financial adviser;
 - 8.3.3 I/we understand and agree that all instructions submitted by my/our financial adviser will be governed by the H4 Hedge Fund Portfolios Terms and Conditions applicable as at the date the instruction is received;
 - 8.3.4 I/we acknowledge and agree that H4 will not be held liable for acting on any instructions submitted by my/our financial adviser, and I/we indemnify H4, its officers, agents, directors and employees from all direct or indirect claims (including claims for consequential damages) in this regard.
- 8.4 where I/we have completed Section 3 –
 - 8.4.1 I/we authorise H4 to make payment of the negotiated fee to my/our financial adviser, from the Portfolio(s); and
 - 8.4.2 I/we acknowledge that I/we may instruct H4 in writing, including an electronic instruction, at any time, to cease paying the fees, or to vary the amount of fees, to my/our financial adviser.

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

ANNEXURE A

AUTHORISED FINANACIAL ADVISER

1. Authorised persons information

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

Identification type RSA ID Passport Other

If "Other", please specify document type	
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South African ID number			
Passport number		Expiry date	
Country of issue			
"Other" identification number			
Date of Birth		Country of Birth	

Residential address

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

Postal address Same as residential address? Yes No

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

Are any of the Authorised person's addresses "in care of" addresses? Yes No

If "Yes", please provide the name of the "in care of" entity or individual

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Authorised person's contact details

(International dialling code + area code + number)

Home		Work	
Mobile			
Email address			

Country(ies) of citizenship

Note: You can have more than one country of citizenship

South African Citizen Other

If "Other", please list the Investor's country(ies) of citizenship

Country(ies) of citizenship	

Country(ies) of residence

Note: You can have more than one country of residence

South African Resident Non-Resident

If "Non-Resident" please list the Investor's country(ies) of residence

Country(ies) of residence	

Primary country of residence

2. Authorised person profile information required in terms of the Financial Intelligence Centre Act, No. 38 of 2001 ("FICA")

2.1 Domestic Prominent Influential Person or a Foreign Prominent Public Official

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

Yes No

If "Yes", please provide details of position held:

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Is the Authorised person a family member or a close associate of a Domestic Prominent Influential Person or a Foreign Prominent Public Official? (Please refer to Annexure B 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

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

Does the Authorised person 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

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2.3 Links to other countries

Please indicate if the Authorised person 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

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3. Authorised person's tax information

Notes:

- This section applies to all Authorised persons whether registered for tax or not
- The South African Revenue Service (SARS) requires H4 to collect tax information from their clients
- Please refer to the H4 tax guide in Annexure B for information on the terms used in this section

3.1 Tax information

Are you a registered taxpayer?

Yes No

If "Yes", please provide tax information

Country(ies) of tax residence	Tax identification number (TIN)	Are you considered to be a citizen in this country?		Are you considered to be a national in this country?	
		Yes	No	Yes	No
		Yes	No	Yes	No
		Yes	No	Yes	No

If you are unable to provide a TIN please provide the reason

If "No", please provide the reason you are not registered for tax

3.2 Foreign Account Tax Compliance Act ("FATCA") and OECD Common Reporting Standards ("CRS")

Notes:

- If 3.2.1, 3.2.3 or 3.2.5 is selected, please ensure that Section 3.1 above is fully completed
- Please refer to annexure B for additional information on FATCA & CRS

The Authorised person is:

3.2.1	a citizen of the United States of America	3.2.2	not a citizen of the United States of America
3.2.3	resident for tax purposes in the United States of America	3.2.4	not resident for tax purposes in the United States of America
3.2.5	resident for tax purposes in a foreign country(ies) (other than the USA)	3.2.6	not resident for tax purposes in a foreign country(ies)

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. 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:

- 2.1. The President or Deputy President (<http://www.gov.za/about-government/leaders>);
- 2.2. A government minister or deputy minister (<http://www.gov.za/about-government/leaders>);
- 2.3. The Premier of a province (<http://www.gov.za/links/provincial-government>);
- 2.4. A member of the Executive Council of a province (<http://www.gov.za/links/provincial-government>);
- 2.5. 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>);
- 2.6. 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>);
- 2.7. 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>);
- 2.8. 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);
- 2.9. 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>);
- 2.10. 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>);
- 2.11. 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>;
- 2.12. 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>);
- 2.13. 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>);
- 2.14. An officer of the South African National Defence Force above the rank of major-general
- 2.15. 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>);
- 2.16. The position of:
 - 2.16.1. Chairperson of the board of directors;
 - 2.16.2. Chairperson of the audit committee;
 - 2.16.3. Executive officer; or
 - 2.16.4. Chief financial officer of a company, as defined in the Companies Act, 2008;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;

2.17. Immediate family members are:

2.17.1. The spouse, civil partner or life partner;

2.17.2. The previous spouse, civil partner or life partner;

2.17.3. Children and step children and their spouse, civil partner or life partner;

2.17.4. Parents; and

2.17.5. Siblings and step siblings and their spouse, civil partner or life partner.

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

3. 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.

4. 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:

4.1. Head of State or head of a country or government;

4.2. Member of a foreign royal family;

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

4.4. Senior judicial official;

4.5. Senior executive of a state owned corporation; or

4.6. High-ranking member of the military.