

Date:

**Investor Details**

Surname:  Other Name(s):

Date of Birth:  ID/Passport No.:  Nationality:

Country of Residence:  TIN No.:  Mobile No.:

Email Address:  Postal Address & Code:

Employment Status: Employed  Self Employed  Unemployed  Retired

Employer's Name:  Occupation:

Industry:

**Residential Address Enquiry**

House No. & Estate:

Road:  Town / Area:

I write to confirm that the above is a description of my current residential address. This description is provided as I do not have any utility bill that may be used to verify my current residential address.

**Source of Funds**

**The funds for these investments are from (please tick)\***

Salary  Rental/Property Sale  Sale of Shares  Dividends  Loan

Maturing Investments  Retirement Benefits  Gifts/Bonuses  Inheritance

Others (Please Specify)

*\*Please note that Sanlam Investments East Africa reserves the right to seek further information or documentation on the source of the funds to be invested.*

**Customer's Bank Details**

Bank Name:  Bank Branch:

A/C Name:  A/C Number:

Signature of Applicant in accordance to mandate provided \_\_\_\_\_

*Any instructions of change of bank details MUST be provided in writing with certified proof*

### Investment Details

Minimum investment amount is **UGX. 100,000** for each of the Sanlam Income Fund.

NAME OF FUND	AMOUNT	INITIAL FEES	ANNUAL MANAGEMENT FEES
Sanlam Income Fund		NIL	1.5%
<b>Total Amount Invested</b>			

Payment method (please tick) Cheque Deposit  Direct Cash  Direct Transfer  Mobile Money

Re-invest? Yes  No  (If "No", all income distribution will be credited to your Bank Account on file.)

### Deposit Account Details

Sanlam Investments East Africa Limited accepts personal/corporate and bankers cheques payable to the Sanlam Unit Trust A/C. The Bank Account details are listed below.

<b>A/C Name</b>	SCBU ATF SANLAM UNIT TRUST	<b>Bank Branch</b>	Speke Road
<b>A/C Number</b>	0105286503300	<b>Swift Address</b>	SCBLUGKA

<b>Bank</b>	Standard Chartered Bank Uganda Limited
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Please indicate the unique member number for all subsequent top-ups and share the details to [clientservice@sanlameastafrica.com](mailto:clientservice@sanlameastafrica.com)

### Beneficiaries

	Beneficiary 1	Beneficiary 2	Beneficiary 3
Name			
Date of Birth			
Identification No.			
Mobile No.			
Percentage Share (%)			
Relationship			
Email Address			

**Guardian** (For minor beneficiaries i.e below 18 years)

<b>Full Name</b>	<b>ID Number/Passport Number</b>	
<b>Date of Birth</b>	<b>Mobile Number</b>	<b>Relationship to Minor</b>

### Self Certification (Tax Status)

Are you registered for tax in Uganda? Yes  No

Are you registered for tax in any other country? Yes  No

If "Yes", please provide your Tax Identification Number for each country (or reason why none has been issued)

Country of Residence	Tax Identification No.	Or Reason	Tax No. Not Applicable

Sanlam Investments East Africa Limited:

7th Floor, Workers House, Pilkington Road, Kampala,  
PO Box 9831, Kampala, Uganda,  
Website: [www.sanlam.com/investmentseastafrica](http://www.sanlam.com/investmentseastafrica)

Contact Information:

Email: [customerservice@sanlameastafrica.com](mailto:customerservice@sanlameastafrica.com)  
Mobile & WhatsApp: 0771 452 573  
Social Media: Facebook, Twitter, LinkedIn: @SanlamInvestUG

## Risk Assessment

### 1. What is your age bracket?

- a. 18 - 30 years       b. 31 - 45 years       c. Over 45 years

### 2. How long do you want to invest?

- a. Above 3 years       b. 1 - 3 years       c. 0 - 1 years

### 3. Have you ever invested in any of the investments below? (Please tick where applicable)

Fixed Deposit       Land/House       Shares       T/Bills or T/Bonds       Unit Trusts

- a. More that 3 investment categories   
b. More than 1 - 3 of the above   
c. None of the above   
d. Others (please state)

### 4. What type of savings or investments do you currently hold? (Please tick where applicable)

Fixed Deposit       Land/House       Shares       T/Bills or T/Bonds       Unit Trusts

- a. More that 3 investment categories   
b. More than 1 - 3 of the above   
c. None of the above   
d. Others (please state)

### 5. What do you expect of your income in the next one to three years?

- a. Increase       b. Stay about the same       c. Decline/stop

### 6. Would you say you have?

- a. A sound and good understanding of investments and financial markets   
b. A basic understanding of investments and financial markets   
c. Very little knowledge of investments but have an interest   
d. No interest or knowledge of any investments

### 7. What attracts you to an investment?

- a. Its good return, regardless of risk   
b. A combination of security and income   
c. Purely security

## Declarations and Signature

I apply for investments into Sanlam Unit Trust Funds on the terms, conditions and regulatory information set out in the information memorandum. I understand that Sanlam Unit Trust reserves the right to accept or decline this application. The information is available at the Sanlam Investments East Africa website.

I have read and understood the information memorandum, the charges made by Sanlam Investments East Africa Limited and the applicable charges and terms and conditions of this application.

I confirm that I received clear explanations and understanding on the investment product before signing. I confirm that the product was fully explained to me with particular attention having been paid to its charge structure and any possible cancellation penalties that may incur. Investable funds should be sighted in the Sanlam Unit Trust collection account before cut off for purchasing any units.

I confirm that the units are not being acquired directly or indirectly by or on behalf of any person restricted by the law of any jurisdiction from acquiring such units and that I/we will not sell, transfer or otherwise dispose of any such units directly or indirectly to or for the account of such a person.

I hereby agree that all proceeds for redemption and income distribution will be paid in accordance to the applicable payment instructions and not third party accounts.

I confirm that the money used for the investment in the Sanlam Unit Trust Funds is not arising out of the proceeds of any money laundering or other illicit activities.

I agree that Sanlam Unit Trust is not responsible for any liability, losses or damages resulting from e-mail or fax instructions, except when such a liability or loss results from negligence, or willful default on Sanlam Unit Trust's part.

I warrant that all the information given on this proposal and in all documents which have been or will be signed by me in the connection with the proposal application whether in my hand or not, is true and complete.

Sanlam Unit Trust is dedicated to protecting the confidentiality and privacy of information entrusted to us.

Personal information is processed to comply with legal and regulatory obligations, such as keeping records for tax purposes or providing information to a public body or law enforcement agency, and may include filing reports with various Regulators such as Financial Reporting Centre (FRC), Capital Markets Authority (CMA), Internal Revenue Service ("US Tax Authority"), etc.

Sanlam Unit Trust is legally bound by the Foreign Account Tax Compliance Act (FATCA) and is, or may be required for US citizens or residents, to disclose and report certain information concerning their account to the relevant authorities including but not limited to the US Internal Revenue Service ("US Authorities"). Additionally, FATCA may require the Sanlam Unit Trust to deduct, withhold and remit such taxes or monies to the US Authorities as may be directed by them from time to time.

We shall notify you of any material changes regarding the protection of your personal data via email or our website. If you have any queries at all in relation to your personal data and how we can protect your data rights, please contact our Data Protection Officer through [privacyofficer@sanlameastafrica.com](mailto:privacyofficer@sanlameastafrica.com)

### **I, THE UNDERSIGNED CONFIRM THAT I HAVE READ AND UNDERSTOOD THIS DECLARATION AND ITS IMPLICATIONS**

Name:

Signature of Applicant: \_\_\_\_\_ Date:

#### Sanlam Investments East Africa Limited:

7th Floor, Workers House, Pilkington Road, Kampala,  
PO Box 9831, Kampala, Uganda,  
Website: [www.sanlam.com/investmentseastafrica](http://www.sanlam.com/investmentseastafrica)

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Mobile & WhatsApp: 0771 452 573  
Social Media: Facebook, Twitter, LinkedIn: @SanlamInvestUG

**For Official Use Only**

**1. KYC Documents**

- I.) Copy of National ID or Passport
- II.) Passport size photo
- III.) Copy of TIN certificate
- IV.) Copy of tax exemption certificate [If applicable]

**2. Proof of Banking details**

- I.) Copy of ATM card with the account number or copy of Bank Statement or original Cancelled Cheque

**3. Proof of investment** i.e Mobile Money Transaction confirmation message, Deposit Slip, Cheques or RTGS. Cheques should be written in the name of Sanlam Unit Trust.

**I hereby confirm that all the above documents (where applicable) have been attached.**

Financial Advisor Name: \_\_\_\_\_

Code: \_\_\_\_\_ Signature: \_\_\_\_\_

Date:

**For Internal Use**

Staff Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date:

Reviewed by: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: