

Change in Financial Services Provider (FSP)/ Financial Adviser/Assistant Details Form

M&G South Africa Collective Investment Scheme funds are managed by MandG Investments Unit Trusts South Africa (RF) Ltd (Registration number: 1999/005242/06) (the Manager), an authorised Manager in terms of the Collective Investment Schemes Control Act (“CISCA”). The M&G life products are underwritten by MandG Investments Life South Africa (RF) Ltd (Registration number: 2008/013338/06) (M&G Life) an approved linked long-term insurer in terms of the Insurance Act. All M&G Namibia Unit Trust funds are managed by MandG Investments Unit Trusts (Namibia) Ltd (Registration number: 2007/609), an approved Management Company in terms of the Unit Trusts Control Act, 1981. All assets of the M&G SA group of companies are managed by MandG Investment Managers (Pty) Ltd (Registration number: 2013/051515/07), which is an approved discretionary Financial Services Provider (#45199). These companies are herein collectively called “M&G Investments”.

Our contact details

SA Sharecall: 0860 105 775	Postal address:	Physical address:
Namibia: +264 61 256 166	PO Box 23167	7 th Floor, Protea Place
Email: info@mandg.co.za	Claremont	30 Dreyer Street
Web: www.mandg.co.za	7735	Claremont

When and how to complete this form

- If the Financial Services Provider (FSP) license number has changed please complete a new **FSP and Financial Adviser Application Form**
- Only complete the sections and supply the documentation applicable to your change.
- If changes are related to the FSP or FSP assistant, an Authorised Individual (authority to act on behalf of the FSP) must sign this form.
- It is the responsibility of the FSP to notify M&G Investments if and when any changes occur.
- We can only process your application once we have received all the required documentation.
- Information written outside of the relevant fields will not be considered when processing your application.

Document checklist

- This completed, signed and dated form
- Proof of FSP name change (copy of change of name certificate - CM9/COR15.2 where applicable)
- Proof of registration with the relevant authority or regulatory body
- Proof of the authority to act on behalf of the FSP (e.g. copy of board/member resolution)
- Proof of FSP bank details (not older than 3 months), e.g. copy of bank statement (if applicable)
- Proof of business physical address (not postal), not older than 3 months and reflecting name of FSP, e.g. copy of utility bill

In addition to the documents listed above, please refer to the **Supporting Documentation Annexure** for a list of the FICA documentation we will accept for a South African FSP or the FIA documentation for a Namibian FSP.

What happens next

- Please e-mail a copy of this completed and signed form accompanied with the supporting documentation to instructions@mymandg.co.za. We reserve the right to request additional documents, if required.
- Processing can only commence once all the necessary documentation has been received.

1 FSP details

Existing M&G FSP number FSP license number

Registered name

Trading name

2 FSP contact details

Only complete this section if the FSP contact details have changed

FSP license number

FSP license category

Registered name

Registration number

Trading name

VAT number

Registered physical address

Country Postal code

Postal address
(if different to business)

Country Postal code

Telephone + / - Cellphone + -

Email address

3 FSP bank details

Only complete this section if the FSP bank details have changed accompanied by a recent bank statement (not older than 3 months)

Name of bank account holder

ID/Registration number of bank account holder

Name of bank

Branch name Branch code

Branch city Branch country

Account number

Type of account Current/Cheque Savings Transmission

No payments will be made by M&G Investments to third parties. Bank accounts must be in the name of the FSP. All fees due to the FSP, or any of its Financial Advisers, will be paid into this account.

4 Correspondence preferences

Only complete this section if the FSP correspondence preference must change

FSP correspondence must be sent to Email address

5 Financial Adviser details

Only complete this section if an existing financial adviser's details have changed

Existing M&G Financial Adviser number

Title First name(s)

Surname

Nationality Date of birth

ID number (Passport number if foreign national) Passport expiry date

Contact details

Business address

Postal code

Postal address (If different to business)

Postal code

Telephone + / - Telephone + -

Facsimile + / - Cellphone* + -

Email address*

New individuals to the FSP must complete the [Financial Services Provider \(FSP\) New Financial Adviser Form](#).

*Required for online access

6 Assistant details

Only complete this section if an existing assistant's details have changed:

Title First name(s)

Surname

ID number (Passport number if foreign national) Passport expiry date

Telephone + / - Cellphone + -

Email address

Details of the Financial Adviser for this assistant

Full name and surname

Existing M&G Financial Adviser number

Authorised signatory of FSP

Full name of Authorised Individual Capacity

Signature of Authorised Individual Place

Date

M&G Investments FICA and supporting documentation annexure for South African FSP/Financial Adviser/Assistant

In terms of the Financial Intelligence Centre Act (FICA), before M&G Investments can enter into any transaction it is mandatory that we obtain and verify certain information from anyone we transact with. Where the Financial Services Provider (FSP) is a legal entity, we need to identify the legal entity and its beneficial owners, controlling persons and authorised signatories, prior to entering into a transaction. We retain the right to contact you to request additional information/documentation should it be needed.

Please ensure that all documents clearly show, where applicable, your full name, surname, identity number, issue date, photograph, etc. Where smart cards are used, ensure that we receive a clear copy of both the front and back of the smart card.

Individuals/Sole Proprietorship

1. South African issued identity document ("ID"), smart card or temporary ID/drivers licence/passport with a letter explaining why no ID was provided.	<input type="checkbox"/>
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Close Corporations

1. The most recent CK1 (founding statement), CK2 (Amended founding statement) or CIPC print out	<input type="checkbox"/>
2. Identity document for each member and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a members' resolution	<input type="checkbox"/>

Unlisted SA Company

1. The most recent CM1/COR14.3 (Certificate of incorporation) or CIPC print out	<input type="checkbox"/>
2. The most recent CM29/COR39 or CIPC print out	<input type="checkbox"/>
3. A company organogram or a letter from the SA company's accountant/auditor/company secretary listing all shareholders who hold 25% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
4. Identity document of each natural person holding 25% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
5. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>

Listed Company

1. Official documentation from the relevant securities exchange, or other acceptable source, reflecting current listing status	<input type="checkbox"/>
2. Identity document of the managing director and persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Power of attorney, mandate, directors resolution or valid court order	<input type="checkbox"/>

Foreign Company

1. Official documentation reflecting the registered name, registration number, registered address, and any name changes since incorporation	<input type="checkbox"/>
2. A company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 25% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
3. Identity document of each natural person holding 25% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
4. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>

Partnership

1. Partnership agreement	<input type="checkbox"/>
2. Identity document for each partner, controlling persons and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Partners' resolution	<input type="checkbox"/>

M&G Investments FICA and supporting documentation annexure for South African FSP/Financial Adviser/Assistant

Trusts

1. Trust deed or other founding document	<input type="checkbox"/>
2. Letters of authority issued by the Master of the High Court where the trust was registered (or equivalent document for international trusts)	<input type="checkbox"/>
3. Identity document for each trustee, each named beneficiary, the settlor and the persons authorised to act. If the beneficiary, trustee or settlor of the trust is a legal entity: the most recent CM1/COR14.3 (Certificate of incorporation) or CIPC print out, partnership agreement or trust deed.	<input type="checkbox"/>
4. Proof of authority to act in the form of a resolution/letters of authority	<input type="checkbox"/>

Pension Funds/Medical Schemes

1. Registration certificate from the Registrar of Pension Funds (FSCA) or Council of Medical Schemes	<input type="checkbox"/>
2. Identity document for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>

Other Legal Entities

1. Founding documents (i.e. signed constitution or other founding documents)	<input type="checkbox"/>
2. Identity documents for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>

Agent, Authorised Persons, Controlling Person

1. Authorising resolution, power of attorney, court order, letter of executorship etc.	<input type="checkbox"/>
2. Identity document for each person authorised to act on behalf of the investor	<input type="checkbox"/>
3. Identity document for each Controlling Person of the investor	<input type="checkbox"/>

M&G Investments FIA and supporting documentation annexure for Namibian FSP/Financial Adviser/Assistant

In terms of the Financial Intelligence Act (FIA), before M&G Investments can enter into any transaction it is mandatory that we obtain and verify certain information from anyone we transact with. Where the Financial Services Provider (FSP) is a legal entity, we need to identify the legal entity and its beneficial owners, controlling persons and authorised signatories, prior to entering into a transaction. We retain the right to contact you to request additional information/documentation should it be needed.

Please ensure that all documents clearly show, where applicable, your full name, surname, identity number, issue date, photograph, etc. Where smart cards are used, ensure that we receive a clear copy of both the front and back of the smart card.

Individuals/Sole Proprietorship

1. Namibian issued identity document ("ID"), smart card or temporary ID/drivers licence/passport with a letter explaining why no ID was provided.	<input type="checkbox"/>
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Close Corporations

1. The most recent CC1 (founding statement) or CC2 (amended founding statement) issued by the Namibian Companies Registration Office	<input type="checkbox"/>
2. Identity document for each member and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a members' resolution	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

Unlisted Namibian Company

1. The most recent CM1 (Certificate of incorporation) issued by the Namibian Companies Registration Office	<input type="checkbox"/>
2. The most recent CM29 and CM22 issued by the Namibian Companies Registration Office	<input type="checkbox"/>
3. A company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 20% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
4. Identity document of each natural person holding 20% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
5. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>
6. Proof of operating address	<input type="checkbox"/>

Listed Company

1. Official documentation from the relevant securities exchange, or other acceptable source, reflecting current listing status	<input type="checkbox"/>
2. Identity document of the managing director and persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Power of attorney, mandate, directors resolution or valid court order	<input type="checkbox"/>

Foreign Company

1. Official documentation reflecting the registered name, registration number, registered address, and any name changes since incorporation	<input type="checkbox"/>
2. A company organogram or a letter from the company's accountant/auditor/company secretary listing all shareholders who hold 20% or more of the voting rights (directly or indirectly)	<input type="checkbox"/>
3. Identity document of each natural person holding 20% or more of the voting rights (directly or indirectly), the managing director of the company and persons authorised to act on behalf of the company.	<input type="checkbox"/>
4. Proof of authority to act in the form of a directors' resolution	<input type="checkbox"/>
5. Proof of operating address	<input type="checkbox"/>

M&G Investments FIA and supporting documentation annexure for Namibian FSP/Financial Adviser/Assistant

Partnership

1. Partnership agreement	<input type="checkbox"/>
2. Identity document for each partner, controlling persons and the persons authorised to act	<input type="checkbox"/>
3. Proof of authority to act: Partners' resolution	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

Trusts

1. Trust deed or other founding document	<input type="checkbox"/>
2. Letters of authority issued by the Master of the High Court where the trust was registered (or equivalent document for international trusts)	<input type="checkbox"/>
3. Identity document for each trustee, each named beneficiary, the settlor and the persons authorised to act	<input type="checkbox"/>
4. Proof of authority to act in the form of a resolution/letters of authority	<input type="checkbox"/>

Pension Funds/Medical Schemes

1. NAMFISA or other registration certificate or rules	<input type="checkbox"/>
2. Identity document for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

Other Legal Entities

1. Founding documents (i.e. documents used to register/incorporate the business/legal entity/NPO)	<input type="checkbox"/>
2. Identity documents for each person authorised to act	<input type="checkbox"/>
3. Proof of authority to act in the form of a resolution	<input type="checkbox"/>
4. Proof of operating address	<input type="checkbox"/>

Agent, Authorised Persons, Controlling Person

1. Authorising resolution, power of attorney, court order, letter of executorship etc.	<input type="checkbox"/>
2. Identity document for each person authorised to act on behalf of the Financial Adviser	<input type="checkbox"/>