

Risk-based approach (RBA) Survey

MandG Investments Unit Trusts South Africa (RF) Ltd (Registration number: 1999/005242/06) (the Manager) is an approved CIS management company (#29) under the Collective Investment Schemes Control Act, 2002. Portfolio assets are managed by MandG Investment Managers (Pty) Ltd (Registration number: 2013/051515/07), which is an approved discretionary Financial Services Provider (#45199) for the MandG SA group (M&G Investments). The M&G Living Annuity is underwritten by MandG Investments Life South Africa (RF) Ltd (Registration number: 2008/013338/06) (M&G Life) an approved long-term insurer. MandG Investments Unit Trusts South Africa (RF) Ltd (the Manager) is authorised as a Manager in terms of the Collective Investment Schemes Control Act (CISCA). Portfolio assets are managed by MandG Investment Managers (Pty) Ltd (Registration number: 2013/051515/07), which is an approved discretionary Financial Services Provider (#45199) for the MandG SA group (M&G Investments).

Our contact details

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Web: www.mandg.co.za

Postal address:
 PO Box 23167
 Claremont
 7735

Physical address:
 7th Floor, Protea Place
 30 Dreyer Street
 Claremont

When to complete this form

Please complete this form if you have received a request from M&G Investments to update your FICA (RBA) information. Please send your completed form to info@mandg.co.za.

Investor information

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

Email address

Industry of work

Government/SOE Financial Retail Industrial Agriculture Tourism

Self-employment Resources Communications & technology Manufacturing Politics

Loan companies Gambling Arms & munitions Professional, legal/education, medical

Other

Prominent Person Declarations

Please complete the below section. If you require more information refer to [Appendix 1](#) at the back of this form:

Are you a Domestic Politically Exposed Person as defined in the Financial Intelligence Act as amended? Yes No

Are you a Foreign Politically Exposed Person as defined in the Financial Intelligence Act as amended? Yes No

Are you a Prominent Influential Person as defined in the Financial Intelligence Act as amended? Yes No

Are you a family member or known close associate of a Domestic Politically Exposed Person or a Foreign Politically Exposed Person or a Prominent Influential Person as defined in the Financial Intelligence Act as amended? Yes No

Appendix 1

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South African Schedule 3A: Domestic Politically Exposed Person

A domestic political exposed person is an individual who -

- a) holds, including in acting position for a period of exceeding six (6) months, or has held a prominent public function in the Republic, including that of -
 - i. the President or Deputy President;
 - ii. a government minister or deputy minister;
 - iii. the Premier of a province;
 - iv. a member of the Executive Council of a province;
 - v. an executive mayor of a municipality elected in terms of the Local Government: Municipal Structures Act, 1998 (Act No. 117 of 1998);
 - vi. a leader of a political party registered in terms of the Electoral Commission Act, 1996 (Act No. 51 of 1996);
 - vii. a member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003 (Act No. 41 of 2003);
 - viii. 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 (Proclamation No. 103 of 1994);
 - ix. the municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), or a chief financial officer designated in terms of section 80 (2) of the Municipal Finance Management Act, 2003 (Act No. 56 of 2003);
 - x. 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 (Act No. 1 of 1999);
 - xi. the chairperson of the controlling body, chief executive officer,
 - xii. 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);
 - xiii. a constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001 (Act No. 47 of 2001);
 - xiv. an ambassador or high commissioner or the senior representative of a foreign government based in the Republic; or
 - xv. an officer of the South African National Defence Force above the rank of major general;
- b) ...
- c) the position of head, or other executive directly accountable to that head, of an international organisation based in the Republic.

South African Schedule 3B: Foreign Politically Exposed Person

A foreign politically exposed person is an individual who holds, or has held, in any foreign country a prominent public function including that of a -

- (a) Head of State or head of a country or government;
 - (b) member of a foreign royal family;
 - (c) government minister or equivalent senior politician or leader of a political party;
 - (d) senior judicial official;
 - (e) senior executive of a state owned corporation; or
 - (f) high-ranking member of the military.
- (Date of commencement: 2 October, 2017)

[Schedule 3C inserted by s. 53 of Act No. 22 of 2022 w.e.f. 31 December, 2022.]

FAMILY MEMBERS AND KNOWN CLOSE ASSOCIATES (RCA'S).

(1) Sections 21F and 21G apply to immediate family members and known close associates of a foreign or domestic politically exposed person or a prominent influential person, as the case may be.

[Subs. (1) substituted by s. 27 of Act No. 22 of 2022 w.e.f. 31 December, 2022.]

(2) For our purposes, an immediate family member includes:

- (a) the spouse, civil partner or life partner;
- (b) the previous spouse, civil partner or life partner, if applicable;
- (c) children and step children and their spouse, civil partner or life partner;
- (d) parents; and
- (e) sibling and step sibling and their spouse, civil partner or life partner.

(S21h of FICA, as amended)