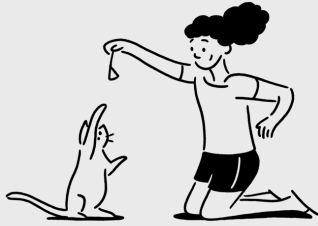




# Sygnia Stargazer Tax Free Savings Account Application Form



**Investor =**  
Minor, a person under the age of full legal responsibility.



**Person acting on behalf of minor =**  
Parents, legal guardians/persons with Power of Attorney or mandate acting on behalf of investor.

## Document Checklist

- Birth certificate of minor.
- South African barcoded ID or valid passport (if foreign national) of legal guardian.
- Proof of authority to act (e.g. power of attorney) of legal guardian.
- Proof of banking details for legal guardian's bank account (e.g. bank statement or cancelled cheque).
- Proof of deposit/transfer into the relevant Sygnia bank account.

**Note:** If you are completing this form online, please save the form to your computer prior to completing any details to ensure a copy is kept for your records. Please ensure that we receive a non-editable version of the completed and signed form.

- No instruction will be processed unless all requirements have been met, all relevant documentation received and the funds reflected in Sygnia's bank account.
- The daily cut-off for receipt of instructions is 14:00.
- For full information on turnaround times please refer to the Sygnia Terms and Information document.
- Completed forms and required documentation must be emailed to [instructions@sfs.sygnia.co.za](mailto:instructions@sfs.sygnia.co.za).
- Please read the Terms and Information document applicable to this investment. This is available from your financial advisor, the Sygnia Client Service Centre or [www.sygnia.co.za](http://www.sygnia.co.za).
- Should you have any queries regarding this application, please contact your financial advisor, or alternatively the Sygnia Client Service Centre on 0860 794 642 (0860 SYGNIA)

# Sygnia

Sygnia Financial Services (Pty) Ltd  
Registration No. 2010/015491/07

Cape Town: 7th Floor, The Foundry, Cardiff Street, Green Point, 8001 | T +27 21 446 4940  
Johannesburg: Unit 40, 6th Floor, Katherine & West Building, West Street, Sandton, 2196 | T +27 10 595 0550  
Durban: Office 2, 2nd Floor, Ridgeview, 1 Nokwe Avenue, Ridgeside, Umhlanga Ridge, 4319 | T +27 31 001 0650  
[info@sygnia.co.za](mailto:info@sygnia.co.za) | [www.sygnia.co.za](http://www.sygnia.co.za)  
Sygnia Financial Services (Pty) Ltd is a licensed Financial Services Provider [FSP 44426]

# Steps to Apply:

## Step one: Complete the form

- Once completed send all documentation to: [instructions@sfs.sygnia.co.za](mailto:instructions@sfs.sygnia.co.za).
- The daily cut-off for receipt of instructions is 14h00. We will verify the documents and confirm that we have all the necessary information.

## Step two: Deposit investment

- If you prefer to do an electronic/internet transfer, we will provide our banking details once your application has been successfully verified. Proof of payment will be required.
- You will receive an email confirming that your application is being checked for compliance. Once you have submitted all the relevant documents your application will be approved.
- We require proof of transfer or deposit before we can finalise your application and open your account.

## Step three: Register account

- Within five to seven days of your investment being finalised, we will email you your Sygnia Stargazer Welcome Pack. This will include all the information you need to register for a Sygnia online account.
- **Note:** In order to grant you access to the platform and before registration can take place, an email address will be required.

## Questions? We're here to help!

You can reach the **Stargazer Support Team** on 0860 794 642 (0860 SYGNIA) or [admin@sfs.sygnia.co.za](mailto:admin@sfs.sygnia.co.za). They are available Monday-Friday 8am-5pm. Or check out [www.sygnia.co.za](http://www.sygnia.co.za) for more information on the Sygnia Stargazer Tax-Free Savings Account and investing with Sygnia.

# Investor Details

Title: \_\_\_\_\_ First name(s): \_\_\_\_\_ Surname: \_\_\_\_\_

Is the investor a South African resident:  Yes  No

ID or Passport number (if foreign national): \_\_\_\_\_ Date of birth: \_\_\_\_\_

Residential address: \_\_\_\_\_

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

Home telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_ Cellphone number: \_\_\_\_\_

Email: \_\_\_\_\_

## Communication Preference

We will send all communication via email.

If you have a financial advisor, you may choose to have your communication sent to you, your financial advisor or to both.

Send communications to:

Me  My financial advisor  Both

If no selection is made we will send communication to you only.

Please keep me informed of the latest news, exclusive Sygnia Investor events and any additional products or services on offer via my chosen communication method above:

Yes  No

## Manage and view your investment on the Sygnia Online Platform

Once your funds have been invested and unitised, you will be able to register on the Sygnia Alchemy Online Platform to view your personal and investment detail:

[online.sygnia.com/Account/Login](https://online.sygnia.com/Account/Login)

Within 5 business days of your investment being finalised, you will receive your log on details and Sygnia Welcome Pack. In order to grant you access to the platform and before registration can take place, an authentic email address will be required.

## Details of Person Acting on Behalf of Investor

\*e.g. parents, legal guardians/persons with Power of Attorney or mandate acting on behalf of investor.

Title: \_\_\_\_\_ First name(s): \_\_\_\_\_ Surname: \_\_\_\_\_

Relationship to investor: \_\_\_\_\_

I am a South African resident:  Yes  No

ID or Passport number (if foreign national): \_\_\_\_\_ Date of birth: \_\_\_\_\_

Residential address: \_\_\_\_\_

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

Home telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_ Work telephone number: ( \_\_\_\_\_ ) \_\_\_\_\_

Cellphone number: \_\_\_\_\_ Occupation: \_\_\_\_\_

Email: \_\_\_\_\_

# Tax-free Investing Status

If the investor already has a Tax-free Savings Account (TFSA) at Sygnia or another financial institution please be aware that the contributions to the Sygnia Stargazer Tax-Free Savings Account count as part of the available TFSA contribution for the year (and lifetime).

- Switch the existing Sygnia TFSA(s) investment to a Sygnia Stargazer Tax-Free Savings Account.
- Transfer the existing TFSA at another financial institution to a Sygnia Stargazer Tax-Free Savings Account (complete the Transfer of existing Tax-free Savings Account section).

## Investment details

### Source of funds (compulsory)

This information is required by legislation and Sygnia Financial Services (Pty) Ltd reserves the right to request proof of source of funds.

- Existing Sygnia account
- Salary
- Savings
- Bonus
- Inheritance
- Transfer of another TFSA
- Other (specify): \_\_\_\_\_

### Choose to invest via:

- Lump sum
- Debit order
- Both
- Transfer from another provider

### Lump sum

I would like to invest a lump sum of: (R) \_\_\_\_\_

Into:

Sygnia Stargazer  
Eco

Sygnia Stargazer  
Tech

Sygnia Stargazer  
Moderate

## Select:

Electronic/Internet transfer (EFT)\*

Date of deposit / transfer: \_\_\_\_\_

\*Electronic/Internet transfers may take up to 2 days to reflect in the Sygnia Bank account.  
We require proof of transfer or deposit before this application can be processed.

Electronic collection by Sygnia\*\*

To be collected from:  Investor's bank account  Third Party bank account

Date of collection: \_\_\_\_\_

\*\* Electronic collection by Sygnia: This is a once-off direct debit from your bank account and is restricted to R46 000.  
Units bought with a direct debit can only be withdrawn after 32 business days.

## Debit order

Investment guidelines:

- Minimum R500. Maximum R3833.33 per month (per TFSA annual limit of R46 000).
- Units bought with a debit order can only be withdrawn after 32 business days.

I would like to invest a debit order amount of: (R) \_\_\_\_\_

Per month into:  Sygnia Stargazer Eco  Sygnia Stargazer Tech  Sygnia Stargazer Moderate

Commencement month: \_\_\_\_\_ Collection date:  1st  15th

Debit order to be collected from:  Investor's bank account  Third party bank account

## Transfer of existing Tax-free Savings Account

Current Tax-free Savings Account Provider: \_\_\_\_\_

I would like to transfer: (R) \_\_\_\_\_

Into:  Sygnia Stargazer Eco  Sygnia Stargazer Tech  Sygnia Stargazer Moderate

## Banking details of minor

The details below must be in the minor's (account holder's) name. Should any changes occur, the investor must notify Sygnia in writing. A recent bank statement must accompany this application form as confirmation of proof of bank details. No payment will be made to third parties (i.e. payments will only be made to the bank account in the name of the registered investor). Payments to credit card accounts are not permitted. The Administrator executes all payment instructions electronically to a South African bank account in the name of the investor. No payment will be made by cheque.

Name of account holder: \_\_\_\_\_

Bank: \_\_\_\_\_ Account number: \_\_\_\_\_

Branch: \_\_\_\_\_ Branch code: \_\_\_\_\_

Type of account:  Current  Transmission  Savings

## Banking details of person\* acting on behalf of investor

\*e.g. parents, legal guardians/persons with Power of Attorney or mandate acting on behalf of investor.

\*Banking details are only required for debit orders or collections.

Name of account holder: \_\_\_\_\_

Bank: \_\_\_\_\_ Account number: \_\_\_\_\_

Branch: \_\_\_\_\_ Branch code: \_\_\_\_\_

Type of account:  Current  Transmission  Savings

In the event that the payment is a debit order/electronic collection the third party must provide Sygnia with authorisation by signing below.

Signed at: \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ year \_\_\_\_\_

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

## Financial Services Provider Details

Financial advisor full name and surname: \_\_\_\_\_

Financial Service Provider (FSP) name: \_\_\_\_\_

FSP registration number: \_\_\_\_\_ FSP code: \_\_\_\_\_

### Investor declaration (only applicable where an FSP holds a category II discretionary license)

I/we confirm that:

- I/we have entered into a mandate with the FSP  Yes  No
- The mandate gives the FSP discretion to act on my/your behalf  Yes  No

Signature of investor: \_\_\_\_\_

**Note:** A copy of the signed mandate must accompany this application form

## FSP Declaration

I/We

- declare that I/we am/are a licensed Financial Service Provider(s) and have made the disclosures required in terms of the Financial Advisory and Intermediary Services Act, No. 37 of 2002, and subordinate legislation thereto, to the investor.
- warrant what I/we have established and verified the identity of the investor(s) (and persons acting on behalf of the investor) in accordance with the Financial Intelligence Centre Act, No. 38 of 2001 ("FICA") and subordinate legislation thereto, and I/we will keep records of such identification and verification according to the provisions of FICA.
- are not aware of any activities in which the investor is involved which may lead us to suspect or reasonably suspect that the investor is or may be involved in any unlawful activities or money laundering. Should we subsequently become aware of suspicions of this nature, we shall immediately inform Sygnia Financial Services (Pty) Ltd.
- I warrant and declare that I will not transact on my client's behalf without my client's prior consent and authorisation and that all transaction will be in line with my client's instructions and Record of Advice.

Signed at: \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ year \_\_\_\_\_

Signature of financial advisor: \_\_\_\_\_

# Financial Advice Fees

I hereby confirm that the Financial Advisor whose details are completed in the “Financial Services Advisor Details” section above, is my appointed Financial Advisor and agree to payment of fees as follows:

**Initial advice fee:** \_\_\_\_\_ % including VAT (Negotiable to maximum 3.45% inclusive of VAT. Applied to each lump sum contribution and (Lump sum) deducted before investment is made).

**Initial advice fee:** \_\_\_\_\_ % including VAT (Negotiable to maximum 3.45% inclusive of VAT. Applied to each debit order contribution and (Debit order) deducted before investment is made).

**Annual advice fee:** \_\_\_\_\_ % including VAT (Negotiable to a maximum of 1.15%) per annum of the market value of the investment portfolio, charged by way of unit reduction and paid to the Financial Advisor monthly in arrears (If an initial fee in excess of 1.725% has been deducted the annual fee is limited to 0.575% per annum.) This authority may be withdrawn by written notice to the Fund.

## Prominent Influential Person Declaration

In terms of Financial Intelligence Centre Act (FICA), Sygnia Financial Services (Pty) Ltd is an accountable institution and is required to establish the risk profile of its investors. This includes determining whether an investor is a prominent influential person.

Please refer to Annexure B for the definition of a Prominent Influential Person. By taking the definition of a Prominent Influential Person in Annexure B into consideration, please answer the following question:

Are you regarded as a Prominent Influential Person?

Yes  No

## Fees

### Fee breakdown

Sygnia Stargazer Eco	Sygnia Stargazer Tech	Sygnia Stargazer Moderate
<b>Annual Administration Fee</b>	<b>Annual Administration Fee</b>	<b>Annual Administration Fee</b>
0.4025% (incl. VAT)	0.4025% (incl. VAT)	0.4025% (incl. VAT)
<b>Management Fees</b>	<b>Management Fees</b>	<b>Management Fees</b>
0.4025% per annum (incl. VAT)	0.575% per annum (incl. VAT)	0.4025% per annum (incl. VAT)

## Discretionary Client Mandate

On completion of this mandate, please return together with a clear copy of the documentation required in terms of FICA and our business requirements in Annexure A.

### Full Discretionary Mandate

Sygnia is hereby authorised to manage the Client's investment at Sygnia's sole and full discretion in order to achieve the investment objectives as set out below. Sygnia will have authority to transact on behalf of the Client without further authority or consent being required under the unlimited mandate.

Sygnia does not guarantee that the investment objectives will be achieved.

### Client Investment Objectives

#### Sygnia Stargazer Eco (Sygnia Itrix S&P Global 1200 ESG ETF)

Sygnia Stargazer Green is a high equity, offshore fund for investors who want to achieve long-term capital appreciation. It has a 100% strategic allocation to global equities and invests in a well-diversified, broad-based index designed to invest in companies that meet sustainability criteria.

#### Sygnia Stargazer Tech (Sygnia Itrix 4th Industrial Revolution Global Equity Actively Managed ETF)

Sygnia Stargazer Indigo is a high equity, offshore fund for investors who want to achieve long-term capital appreciation. It has a 100% strategic allocation to global equities and invests in companies optimally positioned to benefit from new technologies and innovations that have the potential to transform the global economy.

#### Sygnia Stargazer Moderate (Skeleton Balanced 40)

Sygnia Stargazer Yellow is a multi-assetclass fund managed with a low exposure to equities in order to seek a low volatility of returns. The Fund will have exposure to both domestic and foreign assets, which will include equities, fixed interest and money market assets in order to balance risk and reward.

### Risk Disclosure

- Investing in securities traded on stock exchanges, loan stock, bonds, unit trusts and derivatives carries an inherent risk. This means that the value of any investments may fall and the Client may not receive the full amount originally invested. Past performance is no guarantee of future investment returns.
- Sygnia may invest in foreign investments on behalf of the Client. A transaction in a foreign investment can involve significant risk. Any foreign investment may be illiquid and may not be suitable to all investors. The value of, or income from, any foreign investment may fluctuate and be affected by changes in exchange rates. Only investors with sufficient knowledge and experience in business and financial matters to evaluate the relevant merits and risks should consider transacting in foreign investments.
- By your signature hereto, the Client acknowledges that they have been informed of the risks inherent in investing. In addition the Client accepts that such risk may result in financial loss to the Client.
- Sygnia, whilst taking into account the broad tax position of the Client, will not be responsible for assessing all the tax implications and will not be liable for any taxes or other costs that may be incurred through the execution of this mandate.

### Holding of Investments and Holding of Funds

All investments, other than cash and bearer instruments, managed by Sygnia in terms of this mandate shall be registered in the name of the Sygnia Nominees RF (Pty) Ltd, the nominee company within the Sygnia Group of Companies, on Client's behalf and for Client's benefit, unless they are bearer instruments and thus not capable of being registered and all such investments shall be held by Sygnia in safe custody on Client's behalf subject to the applicable legislation.

### Voting on Behalf of Clients

Sygnia may, in respect of all investments held in terms of this mandate, vote on behalf of the Client.

# Declaration by person acting on behalf of the investor

## Important notes

- I/We acknowledge, understand and accept the Sygnia Terms and Information document.
- I/We consent to the processing of my/our personal information by Sygnia.
- I/We acknowledge that Sygnia requires my/our personal information and any authorised signatories in order for Sygnia to perform its obligations fairly, competently, and in accordance with the law with personal information as defined in the Protection of Personal Information Act No. 4 of 2013 (“POPIA”).
- I/We further acknowledge that providing the personal information (“PI”) is mandatory (unless otherwise indicated) and that a failure to provide complete and accurate PI, and/or any other information/document requested in the normal course of business may lead to Sygnia being unable to proceed or continue with our relationship.
- I/We acknowledge that Sygnia processes PI, as well as any other information disclosed to Sygnia, for the purposes set out in Sygnia’s Privacy Notice. A detailed list of records and how to request access to them can also be found in Sygnia’s Access to Information Manual.
- I/We consent to the transfer of such PI to other companies or entities within the Sygnia Group and outside of the Sygnia Group and to the transfer of such PI outside of South Africa where such transfer is necessary for the performance of the business relationship between us.
- I/we confirm that I/we was/were provided with the Minimum Disclosure Document prior to transacting.
- I/We hereby instruct and authorise Sygnia or its assignees to draw against my account the lump sum electronic collection or debit order instruction, if applicable, from the bank account noted in this form (or any other bank or branch to which I may transfer my account).
- I/We hereby confirm that the Financial Advisor whose details are completed in the “Financial Advisor Details” section above, is my appointed Financial Advisor and agree to payment of fees per the “Financial Advisor Fees” section above.

Signed at: \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ year \_\_\_\_\_

Individual acting on behalf of investor: \_\_\_\_\_

# Annexure A: FICA Documentation Required

The list below provides guidance of what documentation will be accepted as proof of residence / business address:

The document must clearly show the person's Name either initials & surname or first name & surname) and physical address.

Document description	Validity period
<b>General Account:</b>	
Utility account i.e rates and taxes, water or electricity	Less than 3 months old
Educational institution account / registration letter	Less than 3 months old
Co-opt statement (i.e. farmers)	Less than 3 months old
Medical aid statement	Less than 3 months old
Mortgage statement from mortgage lender	Less than 6 months old
Telephone or cellular account (all networks)	Less than 3 months old
Valid SABC television license	Less than 1 year old
Bank statement	Less than 3 months old
Security Service Account (ADT etc)	Less than 3 months old
Subscription T.V Statement (DSTV)	Less than 3 months old
Retail accounts (Woolworths, Edgars, etc)	Less than 3 months old
A tax invoice issued by a regulatory body (e.g. SAICA)	Less than 1 year old
<b>Government Issued Documents:</b>	
Motor vehicle registration documents	Less than 1 year old
Court order	Less than 3 months old
Warrant of arrest	Less than 3 months old
SARS income tax return	Less than 1 year old
Documentation relating to UIF or Pension pay-out	Less than 3 months old
<b>Insurance and Investments Documents:</b>	
Medical Aid statement	Less than 1 year old
Life insurance document	Less than 1 year old
Short-term or long-term Insurance document	Less than 1 year old
Funeral policy document	Less than 1 year old
Investment statement- shares, portfolio or unit trust	Less than 1 year old
<b>Lease/Rental/Franchise Agreement:</b>	
Valid Agreement	
<b>Other:</b>	
Payslip	Most Recent
Letter from Employer (where employee resides on the premises)	Less than 3 months old
Tribal Village Authority Letter	Less than 3 months old
Letter From Your Local Municipal Councillor	Less than 3 months old
Affidavit That Confirms Your Address / cohabitation	Less than 6 months old
Letter from the Warden (where investor is incarcerated)	Less than 3 months old
Letter by the Trustees confirming Investor resides on trust property (letter of authority required as well)	Less than 3 months old

If you do not have proof of residential address in your own name, the following will be accepted:

- Utility bill or any other acceptable proof of residence in your spouse's, partner's or parent's name;
- A copy of your spouse's, partner's or parent's South African bar-coded ID, valid passport (if foreign national);
- Confirmation of residential address by co-habitant or homeowner form, which is available on our website [www.sygnia.co.za](http://www.sygnia.co.za)
- Affidavit from your spouse, partner or parent duly dated and commissioned accordingly.