

# Sygnia *STARGAZER* Tax-Free Savings Account

## Application form

### A. Steps to apply:

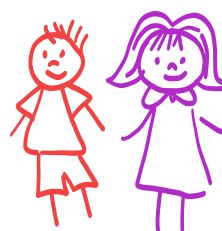
#### Step 1. Complete the attached form

- 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.



#### 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.

#### Documents required for the account

- 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.

#### Step 2. Deposit investment

##### Sygnia bank account details

Account holder: Sygnia Financial Services

Inflow bank: Nedbank

Branch name: Corporate Client Services Cape Town

Branch code: 198765

Account number: 1089 573 545

- 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.

# Sygnia STARGAZER Tax-Free Savings Account (continued)

## Step 3. 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.

## 13. Questions? We are 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 our [Stargazer Help page](#) for more information on the Sygnia Stargazer Tax-Free Savings Account and investing with Sygnia.

## 1. Personal information

### 1.1. Investor

Title:  First name(s):  Surname:

Is the investor a South African resident:  Yes  No

ID number (or passport number if foreign national):  Date of birth:

Is the postal address the same as your residential address?  Yes  No

Residential address:

Code:

Postal address:

Code:

Home telephone number:  Cellphone number:

E-mail address:

#### How should we keep in touch?

Only email  Only post  Both  Financial advisor only

Please keep me informed of the latest news, exclusive to Sygnia.  Yes  No

## 1. Personal information (continued)

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### 1.2. 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 number (or passport number if foreign national):  Date of birth:

Is your postal address the same as your residential address?  Yes  No

Residential address:

Code:

Postal address:

Code:

Work telephone number:  Home telephone number:

Cellphone number:  Occupation:

E-mail address:

## 2. Tax-free investing status

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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. [Download switch form](#)

Transfer the existing TFSA at another financial institution to a Sygnia Stargazer Tax-Free Savings Account. Complete section 3.4.

### 3. Investment details

#### 3.1. 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 - fill out section 3.2  
 Debit order - fill out section 3.3  
 Both - fill out both sections  
 Transfer from another provider - fill out section 3.4

#### 3.2. Lump sum

I would like to invest a lump sum of R \_\_\_\_\_ . \_\_\_\_\_

into  Stargazer Blue; or  Stargazer Green; or  Stargazer Yellow.

##### Select:

Electronic/Internet transfer (EFT)\*

Date of deposit / transfer  D  D  M  M  Y  Y  Y  Y

\* 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.

OR

Electronic collection by Sygnia\*\*

To be collected from:

Investor's bank account  Third Party bank account

Date of collection  D  D  M  M  Y  Y  Y  Y

\*\* Electronic collection by Sygnia: This is a once-off direct debit from your bank account and is restricted to R36 000. Units bought with a direct debit can only be withdrawn after 32 business days.

#### 3.3. Debit order

##### Investment guidelines:

- Minimum R500. Maximum R3 000 per month (per TFSA annual limit of R36 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  Stargazer Blue; or  Stargazer Green; or  Stargazer Yellow.

Commencement month  D  D  M  M  Y  Y  Y  Y Collection date  1st  15th

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



## 4. Financial advisor details

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### 4.1. Financial advisor details

Name:  Surname:

Financial Advisor code

Financial Service Provider (FSP)  FSP Code:

#### Investor declaration (only applicable where my financial advisor holds a Category II discretionary license):

I/we have entered into mandate with the FSP  Yes  No

The mandate gives the FSP discretion to act on my/your behalf  Full  Limited

**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.

Signature:

Signed at:

On:

### 4.2. Financial advice fees

I hereby confirm that the financial advisor whose details are completed in the "Financial Advisor Details and Declaration" section above is my appointed financial advisor and agree to payment of fees as follows:

Initial advice fee (Lump sum):  % excluding VAT (Negotiable to maximum 1.5% exclusive of VAT. Applied to each lump sum contribution and deducted before investment is made.)

Initial advice fee (Debit order):  % excluding VAT (Negotiable to maximum 1.5% exclusive of VAT. Applied to each debit order contribution and deducted before investment is made.)

Annual advice fee:  % per annum excluding VAT (negotiable to a maximum of 1.5%) of the market value of the investment portfolio, charged by way of unit reduction and paid to the financial advisor monthly in arrears. This authority may be withdrawn by written notice to the Fund.

## 5. Declarations

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### 5.1. Prominent influential person declaration

**This declaration must be completed by all investors.**

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 A for the definition of a Prominent Influential Person.

By taking the definition of a Prominent Influential Person in Annexure A into consideration, please answer the following question:

Are you regarded as a Prominent Influential Person?  Yes  No

### 5.2. Fees

#### Fee breakdown

STARGAZER YELLOW	SYGNIA STARGAZER BLUE	SYGNIA STARGAZER GREEN
<b>Annual Administration Fee</b>	<b>Annual Administration Fee</b>	<b>Annual Administration Fee</b>
0%	0.2% (excl VAT)	0.2% (excl VAT)
<b>Management Fees</b>	<b>Management Fees</b>	<b>Management Fees</b>
0.35% per annum (excl VAT)	0.50% per annum (excl.VAT)	0.35% per annum (excl.VAT)

### 5.3. 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 Green (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 Blue (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 Yellow (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.

## 5. Declarations (continued)

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### 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.

## 5.4. 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).



## 5. Declarations (continued)

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- 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.

Signature:

Signed at:

On:

D	D	M	M	Y	Y	Y	Y
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# Annexure A: Prominent Influential Person definition

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A person is considered to be a domestic Prominent Influential Person if he or she holds the position in the country, including in an acting position for a period exceeding six months, or has held the position for a period of at least 12 months after the date on which that person ceased to hold that position as set out below:

## **A) A Prominent Public Function 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;
- vi. A leader of a registered political party;
- vii. A member of a royal family or senior traditional leader;
- viii. The head, accounting officer or chief financial officer of a national or provincial department or government component;
- ix. The municipal manager or a chief financial officer of a municipality;
- 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; or
- xi. The chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity;
- xii. A constitutional court judge or any other judge;
- xiii. An ambassador or high commissioner or other senior representative of a foreign government based in South Africa;
- xiv. An officer of the South African National Defence Force above the rank of major-general.

## **B) The position of:**

- i. Chairperson of the board of directors;
- ii. Chairperson of the audit committee;
- iii. Executive officer; or
- iv. Chief financial officer

Of a company, 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 the amount prescribed by the Minister.

## **C) The position of head or other executive directly accountable to that head of an international organisation based in South Africa.**

A person is considered to be a foreign prominent public official if he or she holds, or has held at any time in the preceding 12 months, in any foreign country a prominent public function including that of a –

- Head of State or head of a country or government;
- Member of a foreign royal family;
- Government minister or equivalent senior politician or leader of a political party;
- Senior judicial official;
- Senior executive of a state owned corporate; or
- High ranking member of the military.