CATALYST
INVESTMENT MANAGERS

Additional Investment Form

How to Invest

1. Please send the completed Application Form, together with the required supporting FIA documentation and proof of payment to Catalyst Investment Managers at fax to **+264 833308081** or email it to units@catalyst.com.na
2. Cut off time for receiving transactions is **11:00** (Namibian Time).
3. The following supporting documentation must be submitted with this application:

☐ **FIA documentation** *(only if changed)* ☐ **Proof of deposit** ☐ **Proof of banking details** *(only if changed)*

Investor Details

Name	
Client Number	

Contact Person

Title ____________________ Surname ____________________

First Name(s) ____________________ Male ______ Female ______

Telephone (H) ____________________ Telephone (W) ____________________

Cell: ____________________ Fax ____________________

Email Address: ____________________

Banking Details (if changed)

Name of Account Holder ____________________

Name of the Bank ____________________

Branch Name ____________________ Branch Code ____________________

Account Number ____________________ Account Type ____________________

Signature of Account Holder ____________________

- **A cancelled cheque or bank statement must be attached as proof of banking details.**
- **The account holder must have a Namibian bank account.**
- **Debit orders and electronic collections will be deducted from this account.**
- **The onus is on the investor to inform the manager of any changes to the bank account details.**
- **No payments will be made into third party bank accounts or credit cards. (I.e. payments will only be made to the bank account in the name of the registered investor).**

Source of Funds Invested

Please specify the source of funds (e.g. salary; investment proceeds; sale of assets; inheritance etc.) The manager reserves the right to request documentary proof e.g. income statement, bank statement.

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Method of Payment

Lump Sum

Please deposit your lump sum investment directly into the following bank account:

Account Name	Account Number	Bank	Branch	Branch Code
Catalyst Investment Managers – Hangala Prescient Inflow/Outflow	**11990155420**	**Nedbank Namibia**	**Corporate Client Services**	**461617**

Cheque deposit	☐	All cheques need to be endorsed as "Non Transferable" and deposited directly into the unit trust inflow account by the investor. Banks do not accept cheques that exceed an amount of N$100 000.00. Please insert investors name and surname as reference. The investment will only be made when cheques are cleared.
Electronic/Internet transfer	☐	Electronic internet transfers may take up to 2 days to appear in the bank account. Units may only be purchased upon receipt of documentation and funds into the account. Please insert investors name and surname as reference. Please attach proof of transfer.

Debit Order / Electronic Collection

I hereby authorise the manager to deduct the stated amount for the investment from the bank account above. I agree to pay bank charges and costs incurred by this electronic collection or debit order. Any debit order amendment must be received in writing by the company prior to the 7thth day of the month in order for it to be acted upon in the following month.

Electronic collection	☐	Funds are deducted from the investor's bank account 4 days after the receipt of this application form and supporting documentation. Electronic collection by the manager is restricted to a maximum of N$500 000.00 per debit. Where a higher amount than this is requested, multiple debits will be processed on the same day.
Regular debit order	☐	Funds are deducted from the investor's bank account on the 1st **working day** of each month **or as soon as possible thereafter**

Commencement date ☐☐☐☐☐☐☐☐ Annual Escalation ☐☐☐ %

Banking details for debit order deduction/electronic collection (if different from investor's bank details):

Name of Account Holder ____________________

Name of the Bank ____________________

Branch Name ____________________ Branch Code ____________________

Account Number ____________________ Account Type ____________________

Signature of Account Holder ____________________

Appointment of Financial Advisor

I, the appointed Financial Advisor for this investment application declare as follows:

Name of Financial Advisor ____________________

Name of Financial Services Provider ____________________

NAMFISA License Number ____________________

The manager's Financial Services Provider code (to be obtained from the company ____________________

Licence Category: Category I ☐ Category II ☐ Category IIA ☐

VAT vendor status: Registered ☐ Not Registered ☐

VAT Number ____________________

I declare that:

1. I am licensed to render services in respect of this product.
2. I have fully explained the meaning and implications of replacement (if applicable) to the investor/s and that I am fully aware of the possible detrimental consequences of replacement.
3. I have established and verified the identity of the investor/s (and persons acting on behalf of the investor) in accordance with the Financial Intelligence Act, 2007 (Act No. 3 of 2007), and the regulations thereto, and I will keep records of such identification and verification according to the provisions of FIA.
4. I have explained all fees that relate to this investment to the investor/s and I understand and accept that the investor/s may withdraw his/her authority for payment to me in writing and inform the manager.
5. My personal information may be used by the manager in the normal course of business to provide the products and services and the manager may retain any information for purposes of investment transactions, processing and administration and to communicate directly with me. Personal information will not be given or sold to any third parties. The manager will disclose or report personal information if and when required to do so by law or any regulatory authority, and to our employees or agents who require such information to carry out their duties.

Signature of Investor ____________________ **Date** ____________________

Signature of financial advisor ____________________ **Date** ____________________

Special Instructions

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Authorisation and Declaration

1. **I have read and fully understood all the pages of this application form and agree to the terms and conditions of this investment and I understand that this application and any further documents, read with the Deed, constitutes the entire agreement between the manager and me.**
2. **I warrant that the information contained herein is true and correct and that where this application is signed in a representative capacity, I have the necessary authority to do so and that this transaction is within my power.**
3. **I am aware of the charges and fees, the total expense ratio, investment objectives, risk factors and income distributions applicable to my investment as set out in this form and in other documentation provided to me.**
4. **I authorise the manager to deduct any debit orders, electronic collections, any applicable taxes and also to pay all fees. If the additional annual advisor fees are insufficient to pay the financial advisor from one fund, the manager will sell units proportionately from the funds**

and pay the amounts to the advisor monthly. Permissible deductions from the fund include management fees, performance fees, bank charges, trustee/custodian fees, audit fees, STT and brokerage.

5. **I know that there are no guarantees on my investment capital and that this product offers no cooling-off rights.**
6. **I confirm that information pertaining to my account (including duplicate statements, valuations and other information that may be required from time to time) may be released to me in electronic or written format.**
7. **I authorise the manager to accept and act upon instructions by facsimile or e-mail and hereby waive any claim that I have against the manager and indemnify the manager against any loss incurred as a result of the manager receiving and acting on such communication or instruction.**
8. **The manager shall deduct any required tax on your behalf where applicable.**
9. **Any personal information may be used by the manager in the normal course of business to provide the products and services and the manager may retain any information for purposes of investment transactions, processing and administration and to communicate directly with me. Personal information will not be given or sold to any third parties. The manager will disclose or report personal information if and when required to do so by law or any regulatory authority, and to our employees, or agents who require such information to carry out their duties.**
10. **If I have appointed a Financial Advisor I authorise the payment of the negotiated fees to be paid to my Financial Advisor from my portfolios as per the Unit Trust Option Table. This authority to pay fees may be withdrawn by written notice to the manager.**
11. **I confirm that I have received the following information:**
    - **investment objectives**
    - **the calculation of the NAV and dealing prices**
    - **charges and fees**
    - **risk factors**
    - **distribution of income accruals**
    - **any additional information necessary to enable the investor to make an informed decision.**

Signed at ______________________________ **Date** ______________________________

1. **Full Name of Signatory** ______________________________ **Capacity** ______________________________

2. **Full Name of Signatory** ______________________________ **Capacity** ______________________________

Signature ______________________________

Contact

Catalyst Investment Managers
The Village, Unit 6
18 Lilliencron Street
Eros
Windhoek

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Windhoek

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Fax: +264 83 330 8081
info@catalyst.com.na
www.catalyst.com.na

Compliance Department

Please do not hesitate to contact us if you are not satisfied with this investment or the services received from the company. A complaint must be submitted to the Compliance Officer. The contact address of the Compliance Officer is the same as the address above. The company will acknowledge the complaint in writing and will inform the investor of the contact details of the persons involved in the resolution thereof.

Investment Option Details

1. I hereby apply to purchase units in the selected portfolios subject to the conditions of the relevant Deed at the ruling fund prices.
2. The manager does not charge an initial fee.
3. Should you agree to an initial advisor fee with your financial advisor, this must be included in this table below subject to the maximum reflected.
4. Should you agree to an additional annual advisor fee to be paid to your financial advisor this will be paid by the sale of units.
5. All fees are exclusive of VAT.

Unit Trust Portfolio	Annual Management Fees *(the Managers Charge)*	Annual Advisor Service Fee *(Included in the annual*	Additional Annual Advisor Fee *(Paid by the investor to the advisor by sale of units)*	Maximum Initial Advisor Fee	Initial Advisor Fee *(Paid by the investor to the advisor before the contribution is invested)*	Lump Sum *(Minimum N$10 000.00 per fund)*	Debit Order *(Minimum N$200.00 per fund*	Distributions * (please tick) Re-Invest	Distributions* (please tick) Pay-Out
Catalyst Cash Enhanced Fund – Hangala Prescient	1.00%	0.25%		3.00%		N$	N$		
Catalyst Cautious Balance Fund - Hangala Prescient	1.25%	0.31%		3.00%		N$	N$		

*** Should you elect to have your distributions paid out, they will be paid into the bank account specified in this application. All distributions below N$1 000 will automatically be re-invested.**