

Contractual Transfers

Confidential

Absa Investment Management Services (Pty) Ltd trading as Absa Linked Investment (ALI) is an authorised financial services provider. All relevant sections must be completed in full. Please indicate all options selected by means of a tick (✓). The investor must initial next to any amendments made.

In order to process this application form, the following documentation is required:

Section 14: The following items must accompany this application form:

- Copy of latest Valuation of the current Portfolio held at the current Service Provider
- Proof of approved Discretionary Financial Services Provider/Representative Mandate (if applicable)
- Proof of Bank details for Transfer Fund (if applicable)
- A fully completed Product Application form (including documentation that must accompany the application form)

Section 37: The following items must accompany this application form:

- Copy of latest Valuation of the current Portfolio held at the current Service Provider
- Proof of Bank details for Transfer Fund (if applicable)
- A fully completed Product Application form

Please Note that one form must be completed per product

Please indicate with a tick (✓) the applicable Transfer option.

- Section 14 (Applicable to Pension and Provident Preservation, Retirement Annuity and Fund Owned Annuity)
- or
- Section 37 (Applicable to Living Annuity)

Member/Annuitant details

Title	<input type="text"/>	Surname	<input type="text"/>										
First name(s)	<input type="text"/>										Initials	<input type="text"/>	
Identity/Passport	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Income Tax number	<input type="text"/>										Annual pensionable salary	R	<input type="text"/>
Name and surname of contact person handling Transfer	<input type="text"/>												
Telephone	<input type="text"/>												

Section 14 Transfer instruction

Investment number	<input type="text"/>	Product name	<input type="text"/>
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Please indicate with a tick (✓) if applicable to specific portfolio or all portfolios.

Portfolio number	<input type="text"/>	or	<input type="checkbox"/> All portfolios
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Please indicate with a tick (✓) the applicable Transfer option

<input type="checkbox"/> Transfer to AIMS from	Company name	<input type="text"/>
or		
<input type="checkbox"/> Transfer to AIMS to	Company name	<input type="text"/>

Fund name

Fund registration number

Fund Rule number

Please indicate with a tick (✓) the applicable Transfer type

Cash Transfer Estimated Transfer value

or

Unit Trust Transfer Estimated Transfer value

I hereby instruct the Management Company to transfer the units as indicated below.

Fund code	Fund name	%	Units	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Has a divorce order been placed against this fund Yes No

Debit order to be cancelled Yes No

Please note:

- 1 This transfer will only be successful subject to the approval of the Financial Services Board (FSB), where applicable. All documentation must be submitted to the FSB within 180 (one hundred and eighty) days of the effective date of transfer. Once FSB approval is granted the assets must be transferred within 60 (sixty) days.
- 2 Should the client request to cancel the transfer instruction, after submitting to the FSB, a fee will be levied for this cancellation.
- 3 On receipt of all the documentation AIMS will request the Section 14 documentation from the transferring fund and *vice versa* for transfer out.
- 4 If both Funds are valuation exempt, no FSB approval is required.

Section 37 Transfer instruction

Investment number Product name

Please indicate with a tick (✓) if applicable to specific portfolio or all portfolios.

Portfolio number or All portfolios

Please indicate with a tick (✓) the applicable Transfer option

Transfer to AIMS Living Annuity from Company name

or

Transfer to AIMS Living Annuity to Company name

Please indicate with a tick (✓) the applicable Transfer type

Cash Transfer Estimated Transfer value

or

Unit Trust Transfer Estimated Transfer value

I hereby instruct the Management Company to transfer the units as indicated below.

Fund code	Fund name	%	Units	Account number

Please note:

- 1 On receipt of all the documentation AIMS will request the annexures from the transferor fund and *vice versa* for transfer out.
- 2 Subject to the assets not being transferred in time for the annuity run, the transferor will be responsible for the client’s annuity payment.
- 3 Income can only be changed on the anniversary of the policy and not on transfer.
- 4 No initial fee may be charged by the Financial Adviser on this transfer.
- 5 No transfers of Exchange Traded Funds (ETF’s) into the Living Annuity will be allowed due to legislated requirements related to annuity payments.

Financial Services Provider details

Name of financial services provider/brokerage Financial services provider/brokerage code

Name of representative Representative code

Representative reference number (Absa use only)

Postal address

Town/City Postal code Country

Telephone (W) Fax

Cell Email

Timing standards

Upon receiving the instruction AIMS has two (2) business days to review and to action or advise of outstanding requirements. Note that AIMS is depending on 3rd parties during this process which will determine the turn around time on every case.

Declaration and signature

I hereby confirm that the above details are true and correct.

Important note:

Should any person (“sender”) choose to submit an instruction to Absa Investment Management Services (Pty) Ltd (AIMS) via fax, email, post or hand delivery, then it is done so at the sender’s own risk. A positive fax transmission report or email delivery acceptance message received by the sender will not be proof of the actual receipt of the instruction by AIMS. AIMS automatically sends an sms/email to the **financial services provider** recorded against the investment and on receipt of this message if shall be deemed that the instruction has been received by AIMS. Should this not be received, the sender may wish to confirm the receipt of the instruction by AIMS by contacting AIMS Client Services. AIMS shall not in any circumstances be liable for any losses and damages incurred by the investor as a result of executing and instruction that was not telephonically confirmed in instances where the Financial Services Provider did not receive the confirmatory sms/email from AIMS. The sender hereby confirms that the above has been read and understands and accepts the terms and conditions thereof.

Signed at _____ on _____

Signature of Member/Annuitant [or duly authorised person(s) where applicable]

Signature of Legal Guardian (If applicable)

Signed at _____ on _____

Signature of Financial Services Provider/Representative

Date

D	D	M	M	C	C	Y	Y
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