

Focus Account Personal Application Form

For clients introduced by approved adviser companies



NEDBANK
PRIVATE WEALTH

This form must be completed in full. Failure to do so, may result in delays to your application being processed or being declined. Please note that additional information and/or further mandates may be required. Your account will only be operational upon completion of our account opening formalities.

If you need help to complete this form, please call us on 0800 289 936 (Freephone UK only) or +44 (0)1624 645000.

Adviser company authorisation

If you do disclose your information to a third party, please consider the risks in doing so and the obligations as detailed within the terms and conditions.

| | | |
|--|-----|----|
| Adviser company name | | |
| Adviser name | | |
| Do you wish us to send copy statements of your account to your adviser company? | Yes | No |
| Do you wish us to divulge information about your account to your adviser company, and provide them with view-only online access? | Yes | No |
| Do you wish us to accept investment instructions from a Third party? If yes, please complete and sign a mandate 'Focus mandate appointing a third party adviser to give investment Instructions only'. | Yes | No |

1. Account location

Isle of Man

Jersey

London (for London accounts, a signed UK Financial Services Compensation Scheme Information Form is required)

2. About you ("the Accountholder")

| | First Applicant | | Second Applicant (if applicable) | |
|---|-----------------|--|----------------------------------|--|
| Title (e.g. Mr/Mrs/Miss/Ms/Other) | | | | |
| Gender | | | | |
| Forename(s) | | | | |
| Middle name(s) | | | | |
| Surname | | | | |
| Known as/alias | | | | |
| Previous name(s) (i.e. maiden name, former married name(s) or if you have changed your name by deed poll). | | | | |
| Relationship between applicants joint accounts only | | | | |
| Telephone number (home) | + | | + | |
| Mobile number (for SMS text communication and online banking) | + | | + | |
| Email address (required for online banking) | | | | |
| Nationality(ies) Please list all the countries where you hold or are entitled to a passport | | | | |
| Date of birth (dd/mm/yyyy) | | | | |
| Town/city of birth | | | | |
| Country of birth | | | | |

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Politically Exposed Persons (PEP)

A politically exposed person (PEP) is someone entrusted with a prominent public function which includes:

- A head of state, head of government, government minister or deputy or assistant government minister
- A senior government official
- A member of parliament or similar legislative bodies
- Members of the governing bodies of political parties
- A member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal
- A member of courts of auditors or of the board of a central bank
- An ambassador, charge d'affaires or high-ranking officer in a diplomatic service or the armed forces
- A member of the administrative, management or supervisory body of a state-owned enterprise
- A director, deputy director, or member of the board or equivalent function of an international organization

Individuals identified as being immediate family members or close associates of an individual holding, or who has held, a prominent public function are regarded as PEPs by Association.

Immediate family members include:

- Spouse;
- Partner considered by national law as equivalent to a spouse;
- Children of that person and their spouse or partner;
- Brother or sister (including a half-brother or half-sister);
- Spouse or partner of a brother or sister;
- Parent;
- Parent-in-law;
- Grandparent; or
- Grandchild.

Close associate includes any natural person known to be a closely associated with the PEP, including:

- An individual holding joint beneficial ownership of a legal person or legal arrangement, or any other close business relationship with the PEP;
- An individual who is sole beneficial owner of a legal person or legal arrangement known to have been set up for the benefit of the PEP;
- An individual who is the beneficiary of a legal arrangement of which the PEP is the beneficial owner or beneficiary; or
- An individual in a position to conduct substantial financial transactions on behalf of the PEP.

| | First Applicant | | Second Applicant (if applicable) | |
|--|-----------------------------|----|----------------------------------|----|
| Are you currently, or have you ever been previously a politically exposed person (PEP)? | Yes (provide details below) | No | Yes (provide details below) | No |
| Do you have an immediate family member or close associate who is, or has ever been a politically exposed person (PEP)? | Yes (provide details below) | No | Yes (provide details below) | No |
| If yes to either of the above, please provide details including relationship to PEP, public function held and time held. | | | | |

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Taxpayer Identification Number (TIN)

The term “TIN” means Taxpayer Identification Number (or, where there’s no TIN, a functional equivalent). A TIN is a unique combination of letters or numbers that a jurisdiction assigns to an individual or an Entity to identify them for the purpose of administering the jurisdiction’s tax laws. Some jurisdictions don’t issue a TIN, however, these jurisdictions often use another high integrity number with an equivalent level of identification (a “functional equivalent”). UK Nationals/Residents intending to hold investments must provide a National Insurance Number.

| | First Applicant | Second Applicant (if applicable) |
|--|-----------------|----------------------------------|
| First country of residence for tax purposes | | |
| National Insurance number or Tax Identification Number (TIN) or equivalent identity number | | |

To be completed below only if you have multiple tax jurisdictions.

| | | |
|---|--|--|
| Second country of residence for tax purposes | | |
| National Insurance number or Tax Identification Number (TIN) or equivalent identity number | | |
| Third country of residence for tax purposes | | |
| National Insurance number or Tax Identification Number (TIN) (or equivalent identity number) | | |
| If a National Insurance number or TIN is not available, please provide your residency certificate number. | | |

Please note: To help fight against tax evasion, governments around the world have introduced an information-gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (CRS). Individuals resident in a CRS jurisdiction will have their details forwarded to the tax authorities.

US citizenship

| Are you or have you ever been a US citizen? | Yes | No | Yes | No |
|---|-----|----|-----|----|
|---|-----|----|-----|----|

We will require all US citizens and US tax residents to complete a Form W-9, which we can send to you or you can download from the IRS website (www.irs.gov) under the Forms and Instructions section.

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3. About where you live

| | First Applicant | Second Applicant (if applicable) |
|---|-----------------|---|
| Permanent residential address Proof of address is required. Please refer to section 12 "Documentation Required" for guidance. | | Same as first applicant Postcode |
| Period at present address (in years) | years | years Same as first applicant |
| If less than three years, please state previous address(es) | | Same as first applicant Postcode |
| Address for correspondence (if different from above) | | Same as first applicant Postcode |
| Reason for use of correspondence address | | Same as first applicant |

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4. About what you do

Please provide details of your current employment. If you are retired, please provide details of your last employment before retirement commenced.

| | First Applicant | Second Applicant (if applicable) |
|--|--|--|
| Employment status (please tick one) | Employed Self-Employed Retired Home Maker Other (please specify) | Employed Self-Employed Retired Home Maker Other (please specify) |
| Occupation (e.g. lawyer, accountant, etc) | | |
| Position held/Job title | | |
| Name of employer/your business | | |
| Address of employer/ your business | Postcode | Postcode |
| Nature of business (e.g. manufacturing, accountancy, etc) | | |
| Jurisdictions involved | | |
| Length of time with employer (if retired, how long were you in your former occupation?) | Years Months | Years Months |

If in current occupation or have been self-employed for less than three years, please give previous employment details:

| | | |
|--|-------------------|-------------------|
| Position held/Job title | | |
| Name of employer / your business | | |
| How long were you in your previous occupation? | Years Months | Years Months |

5. About your finances

Personal information that we collect in section 5 is used to manage your account, as well as to understand your wealth and how this was acquired, as required by local anti-money laundering (AML) and know your customer (KYC) legislation. We may ask you to provide documentary evidence to support this information and will contact you if this is the case. Please complete all applicable sections to ensure your application can be effectively processed.

Your income:

Please include an approximate value of your total income. If you are retired, please provide details of your salary prior to retirement.

| | First Applicant Amount/Currency | Second Applicant (if applicable) Amount/Currency |
|--|------------------------------------|---|
| Gross annual salary/pension (total) | per annum | per annum |
| Gross annual salary before retirement (if applicable) | per annum | per annum |
| Property (rental income) | per annum | per annum |
| Investment Income | per annum | per annum |
| Other income please provide details | per annum Type of income | per annum Type of income |

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Your current wealth:

| Wealth | Value/Currency | Jurisdiction(s) Held | Details | Owner (if joint application) |
|-------------|----------------|----------------------|--|---|
| Cash | | | Please provide information on how cash was accumulated (e.g. savings from salary) and jurisdictions in which it was accumulated (if different from jurisdiction where held). | First applicant Second applicant Joint applicants |
| Investments | | | Please provide information on how original cash amount was accumulated (e.g. savings from salary) and jurisdictions in which it was accumulated (if different from jurisdiction where held). | First applicant Second applicant Joint applicants |
| Property | | | Please include property type (residential, commercial, buy-to-let) and details of any existing borrowing (if applicable). Please confirm if rental income will be paid into Nedbank Focus account (if applicable). | First applicant Second applicant Joint applicants |
| Other | | | Business assets or personal effects and jurisdictions in which accumulated (if different from jurisdiction where held). | First applicant Second applicant Joint applicants |

If any of your current wealth was acquired by inheritance or gift, please provide the following details:

| | |
|--|--|
| Amount received and currency | |
| Donor's name | |
| Relationship to you | |
| Date received (approximate) | |
| Additional information (please include details and value of any other assets received such as property or artwork) | |

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Further information

6. Reason for opening your account

| | |
|--|---|
| Please state reason for requiring an account | |
| If you have requested an account outside your country of residence please indicate why you require an account in this jurisdiction | |
| Please state what the account will be used for (please tick relevant boxes) | <div><div>Saving</div><div>Day-to-day administration</div><div>Investing</div><div>Loan servicing</div><div>Other (please give details)</div></div> |

7. Source of funds

Please provide information regarding the initial monies that will be transferred to the new account:

| | | |
|---|--|--------|
| Initial deposit | Currency | Amount |
| Activity that has generated the funds to be deposited | <div><div>Salary</div><div>Return on investments</div><div>Sale of business/assets</div><div>Other (please specify):</div></div> | |
| Accountholder name | | |
| Bank name | | |
| Country | | |
| Account number | | |
| If the remitting account is not held in your name, please provide additional information regarding their relationship to you and the reason for the transfer. | | |

Type, estimated number and value of transactions over a typical 12-month period:

| | |
|---|---|
| Expected future deposit frequency? | <div><div>Weekly</div><div>Monthly</div><div>Quarterly</div><div>Annually</div><div>Other (please specify):</div></div> |
| Expected transaction value into the account (excluding initial deposit) | <div><div>0 - £250K</div><div>£250K - £500K</div><div>£500K - £1M</div><div>£1M+</div></div> |
| Expected transaction value out of the account | <div><div>0 - £250K</div><div>£250K - £500K</div><div>£500K - £1M</div><div>£1M+</div></div> |
| Please state how you intend to fund future deposits (tick all that apply) | <div><div>Bank deposit/Savings</div><div>Salary/Bonus</div><div>Investment Income</div><div>Pension payments</div><div>Sale of business/shares</div><div>Sale of property</div><div>Other (please specify):</div></div> |
| Which countries will you normally be transferring funds to? | |
| Which countries will you normally expect funds from? | |

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8. Services required

| | | | |
|--|---|-------------------------------------|-------------------------------|
| Currency in which your account will be reported and valued (tick one box only) | <input type="checkbox"/> Sterling | <input type="checkbox"/> US Dollars | <input type="checkbox"/> Euro |
| | <input type="checkbox"/> Other (please specify) | | |

Focus Account

Please note that Focus accounts will be opened in sterling, US Dollar and Euro. Please advise if you require additional currency accounts.

| | | |
|---|------------------------------|-----------------------------|
| Other currency required | | |
| Do you require segregation of income received? (If left blank, income received will not be segregated from capital) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

9. Visa Platinum Debit card services

Please complete this section if you require one or more Visa Platinum debit cards.

| | First Applicant | Second Applicant (if applicable) |
|--|-------------------------------------|-------------------------------------|
| In which currency/currencies do you require your visa platinum debit card(s) to be issued? | <input type="checkbox"/> Sterling | <input type="checkbox"/> Sterling |
| | <input type="checkbox"/> US Dollars | <input type="checkbox"/> US Dollars |
| | <input type="checkbox"/> Euro | <input type="checkbox"/> Euro |

10. Secure online and mobile access to your account

You can access your accounts via online banking and our mobile app.

Online wealth services require you to provide a valid email address and mobile telephone number, which we may use for online payment authentication. Please ensure you have provided both of these in section 2.

Please note: For joint accounts each accountholder must include a separate and unique email address.

Please tick this box to apply for online wealth services

| | |
|---|--------------------------|
| First Applicant | <input type="checkbox"/> |
| Second Applicant (if more than two parties to the account require online access, please request additional forms) | <input type="checkbox"/> |

Please note: Access to the mobile app and transactional online banking is subject to the signatory arrangements agreed in your account mandate.

Please note: If you have a joint account and one accountholder enrolls for online wealth services, then neither of you will receive statements and valuations, or credit and foreign exchange advice or deposit confirmations on your joint account by post.

By completing the information in this section, you hereby request us to provide the above applicant(s) with online wealth and mobile app access to your Nedbank Private Wealth account.

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11. Your signature(s)

Please read the following statements and sign in the space provided:

All applicants are aged 18 or over.

You hereby request us to open an account in your name(s) until such time you instruct us to close it.

You agree that your signature(s) to this individual application shall be your acknowledgement that:

1. You have read a copy of the Focus Account Terms and Conditions and agree to be bound by them;
2. The Terms and Conditions as amended from time to time shall form an agreement between you and us as if incorporated herein. Any changes to the above will be advised to you immediately. The latest Focus Terms and Conditions can be found at nedbankprivatewealth.com/termsandconditions;
3. You authorise us to obtain independent verification of any data provided by you;
4. You authorise us to disclose the information contained in this form in the circumstances provided in the Terms and Conditions;

Joint accounts only

Where this mandate is signed by more than one person, you acknowledge that:

1. If you have a Joint Account, we may accept any account holder's instructions. This means that any of you can operate the Focus Account without the other joint holder's consent. For example, any of you could withdraw the whole amount that is in your current account.
2. The liability of each such person (whether or not a signatory to the account(s)) shall be joint and several; and
3. You hereby waive your statutory right to receive two separate statements of account and request that statements be sent to the first named applicant (unless you have applied for online banking in section 10, therefore waiving your right to all statements).

Data Protection

The information requested on this form will be used by us to provide the specified services and to confirm your identity. You acknowledge that you have read and accept our Privacy Notice, which can be found at nedbankprivatewealth.com/privacynotice. This document details how we collect, process, store and dispose of the personal information you have provided to us. It also outlines your individual rights to your information and how you can access it.

Certification

You confirm that you have examined the information on this form and to the best of your knowledge and belief it is true, correct and complete. You agree that you will notify us within 30 days if any information on this form becomes incorrect.

By signing below, you will be legally bound by the Terms and Conditions of this account.

| | First Applicant | Second Applicant (if applicable) |
|-------------------|-----------------|-------------------------------------|
| Name | | |
| Signature | | |
| Date (dd/mm/yyyy) | | |

The terms of this account application form shall be governed by and construed in accordance with the laws of the Isle of Man, Jersey or UK (as applicable).

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12. Documentation required

IMPORTANT – Documents required for all accounts

We are required to confirm the identity and address of all clients opening bank accounts.

We therefore need the following documents which will be treated as confidential. All originals will be returned to you.

A copy of your passport(s), or a copy of your driving licence(s)* or a copy of any other government issued ID document bearing your photograph and signature certified by a suitable person i.e., an official of a British embassy, qualified solicitor, notary public, member of the judiciary, qualified accountant, a director, officer or manager of a regulated financial services business. The certifier must be licensed/practising/member of a professional body/authorised to certify documents.**

AND

An original utility bill, statement from a recognised bank, statement from a recognised credit card provider, rates bill, council tax bill or income tax bill, not more than six months old showing name and residential address (a certified copy is acceptable if completed as stated below).

To certify a document:

The certifier must state on the copy documents the following:

"I certify that this is a true copy of the original document".

When certifying photographic ID also include the wording "and is a true likeness".

The documents must be signed, dated, and bear the stamp of the office of the certifying person as well as have printed clearly in capitals the name, position, profession and contact details of the certifier.

If you do not possess a passport, driving licence or government issued ID card, please contact us.

* Only UK, Jersey, Guernsey or Isle of Man driving licences can be accepted.

** The certifier must have seen the original document and met the individual face-to-face.

13. Your Checklist

You have read the Focus Account Terms and Conditions

All relevant sections of the application form completed.

ID and address documents for all accountholders as stated in section 12.

London accounts only - a signed UK Financial Services Compensation Scheme Information Form is required to accompany the application form.

**IMPORTANT – It is essential that the above items are enclosed in order for your application to be accepted.
Your account will only be operational upon completion of our account opening formalities.**

If returning the original completed form by post, please use the most appropriate office address below:

| | | | | |
|--------------------------------|----|-------------------------|----|------------------------|
| Nedbank Private Wealth | or | Nedbank Private Wealth | or | Nedbank Private Wealth |
| St Mary's Court 20 Hill Street | | 31 The Esplanade | | Seventh Floor |
| Douglas Isle of Man | | St Helier Jersey | | 12 Arthur Street |
| British Isles IM1 1EU | | Channel Islands JE1 1FB | | London EC4R 9AB |

Please do not email your application form to us without being encrypted as your personal information contained within this form may be compromised by way of fraudulent interception.