

**Computershare Proprietary Limited**

Reg No 2000/006082/07

Rosebank Towers 15 Biermann Avenue Rosebank

2196 South Africa

PO Box 62053 Marshalltown

2107 South Africa

Telephone +27 11 373 0000

086 110 0913

Name of shareholder

Address

Holder Account Number 

Use a **black pen**. Print in CAPITAL letters inside the areas as shown in this example

A	B	C	1	2	3	X
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## Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS") Self-Certification Form to be completed by Sanlam Limited shareholders

This Self-Certification form is used to certify your residency and citizenship for tax purposes. Please read the reverse for definitions of terms used on this form.

- > If your account is registered in the name of a **natural person** (individual) please complete section **1** and **3**
- > If your account is registered in the name of an **entity** (e.g. a company, trust, other legal entity) please complete section **2** and **3**
- > If your account is registered in multiple names and all are natural persons, complete section 1 on multiple forms (one for each person).

### 1 Individuals

Date of birth 

Country of birth 

Nationality 

For each country where the individual has a citizenship or tax obligation, complete the table below ticking one or both of the citizen and resident checkboxes as appropriate.

Country	Citizen	Resident	TIN Unavailable	Tax Identification Number
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

If you have ticked the TIN unavailable box above, please provide the reason why it is unavailable:

Note: If any of the countries selected above is the United States, United Kingdom, Jersey, Guernsey or the Isle of Man, provision of the tax identification number(s) for the given country(ies) is mandatory.

**Go to Section 3**

### 2 Entities

Legal Name of Entity/Branch (in full): 

Country of incorporation or organisation: 

Entity's country of residence for tax purposes: 

Does the country of tax residence issue a Tax Identification Number (TIN)? Yes ☐ No ☐

**If yes:** Please confirm the TIN in the country of residence:

**Or** I am otherwise unable to provide a TIN (*tick box if relevant*) ☐

Additional Countries of Residence for Tax Purposes (if applicable)

Country	TIN Unavailable	Tax Identification Number
<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

If you have ticked the boxes above, please provide the reason why the TIN is unavailable:

Please select ONE of the categories and provide the information requested.

#### Entity's classification under FATCA/CRS

☐ **United States Entity** (If your organisation is a company or partnership incorporated or organised in the United States or a trust considered a Specified U.S. Person, please complete this section and section 3 below).

Is the company a Specified U.S. Person for U.S. tax purposes? Yes ☐ No ☐

If YES, please provide the entity's U.S. Taxpayer Identification Number (TIN)

☐ **Financial Institution** (a custodial or depository institution, an investment entity or a specified insurance company)

Financial Institution's Global Intermediary Identification Number (GIIN), if applicable

If the Financial Institution has not registered for a GIIN, please select its **FATCA** status from the list below:

Please tick **only** the relevant box that applies:

☐ Deemed Compliant Financial Institution

☐ Non-Participating Financial Institution

☐ Exempt Beneficial Owner

☐ Reporting Financial Institution

☐ Non-Reporting FATCA Partner Financial Institution

☐ Sponsored Investment Entity

#### And the Entity's classification under OECD CRS

☐ Reporting Financial Institution

☐ Non-Reporting Financial Institution

☐ **Active Non-Financial Entity** (Active NFFE/NFE – i.e. publically listed companies and related entities, charitable organisations, International organisations, central banks and government bodies)

☐ **Passive Non-Financial Entity** (Passive NFFE/NFE – any entity that is **not** a Financial Institution or Active Non-Financial Entity e.g. trusts, unlisted companies or other legal entities)

#### Controlling Persons

Do any individuals who are beneficial owners of the Passive NFFE/NFE and are foreign persons for CRS and/or Specified U.S. persons for FATCA purposes hold more than 25% of the entity?

Yes ☐ No ☐

If yes, provide the name and Taxpayer Identification Number (TIN) of each beneficial owner/controlling person who is a U.S. citizen or resident of the U.S. for tax purposes (FATCA) or is a foreign person of South Africa (CRS). ALL countries of tax residence and Tax Identification Numbers for EACH Controlling Person must be included.

	Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Name			
Address			
Date of birth			
Place of birth (country)			
County of citizenship			
Tax ID (of citizenship)			
Country of permanent residence			
Tax ID (of permanent residence)			
Is the Controlling Person a "Specified U.S. person"? (Yes/No)			

## 3 Certification

I declare that the information I have provided on this form is, to the best of my knowledge and belief, correct and complete.

I confirm the details of each beneficial owner and controlling person have been correctly completed.

I acknowledge and agree that the information contained in this form and information regarding the account holder's financial account(s) with Computershare may be reported to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country/ies in which the account holder is a tax resident where those countries have entered into agreements to exchange financial account information.

I agree that I will submit a new self-certification form within 90 days if any information on this self-certification form changes or becomes incorrect including for controlling persons.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Capacity

## Definitions

Active Non-Financial Entity (Active NFE/NFFE)	Means any Non-Financial Foreign Entity that meets any of the criteria indicated in subparagraph VI(B)(4) of Annexure I of the Intergovernmental Agreement between the United States of America and South Africa (FATCA) and section VIII (D)(9) of the Standard for Automatic Exchange of Financial Account Information (CRS).
Controlling Person	The natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
Deemed Compliant Financial Institution (FATCA)	A Financial Institution that is one of the following: <i>Small or Limited Scope Financial Institutions that qualify as Deemed-Compliant Financial Institutions</i> (A) Financial Institution with a Local Client Base, (B) Local Bank, (C) Financial Institution with Only Low-Value Accounts, (D) Qualified Credit Card Issuer described in paragraph III of Annexure II of the Intergovernmental Agreement between the United States of America and South Africa. <i>Investment Entities that Qualify as Deemed-Compliant Financial Institutions and Other Special Rules</i> (A) Trustee-Documented Trust, (B) Sponsored Investment Entity and Controlled Foreign Corporation, (C) Sponsored, Closely Held Investment Vehicle, (D) Investment Advisors and Investment Managers, (E) Collective Investment Vehicle provided that all the interests in the collective investment vehicle are held by or through one or more exempt beneficial owners described in paragraph IV of Annexure II of the Intergovernmental Agreement between the United States of America and South Africa.
Exempt Beneficial Owner (FATCA)	An Entity that is one of the following: <i>Exempt Beneficial Owners other than Funds</i> - (A) Governmental Entity, (B) International Organization, (C) Central Bank <i>Funds that Qualify as Exempt Beneficial Owners</i> - (A) Treaty-Qualified Retirement Fund, (B) Broad Participation Retirement Fund, (C) Narrow Participation Retirement Fund, (D) Pension Fund of an Exempt Beneficial Owner, (E) Investment Entity Wholly Owned by Exempt Beneficial Owners. Please find a full definition of Exempt Beneficial Owners in paragraph I and II of Annexure II of the Intergovernmental Agreement between the United States of America and South Africa.
Financial Institution	A Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.
Non-Participating Financial Institution (FATCA)	Term is defined in relevant U.S. Treasury Regulations, but does not include a South African Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution treated as a Nonparticipating Financial Institution pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the United States of America and South Africa.
Non-Reporting Financial Institution (CRS)	A Financial Institution that is one of the following: (a) Governmental Entity, International Organization or Central Bank; (b) Broad Participation Retirement Fund, a Narrow Participation Retirement Fund, a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer; (c) Any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in subparagraphs B(1) (a) and (b); (d) An Exempt Collective Investment Scheme Vehicle; or (e) A trust established under the laws of a Reportable Jurisdiction to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust as referred to in section VIII (B)(1) of the Standard for Automatic Exchange of Financial Account Information (CRS).
Passive Non-Financial Entity	Any Non-Financial Foreign Entity that is not (i) an Active Non-Financial Foreign Entity or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations. Refer also to paragraph VI of Annexure 1 of the Intergovernmental Agreement between the United States of America and South Africa (FATCA) and section VIII (D)(8) of the Standard for Automatic Exchange of Financial Account Information (CRS).
Reportable Jurisdiction Person (CRS)	Means an individual or Entity that is a resident in a Reportable Jurisdiction under the tax laws of such jurisdiction, or an estate of a decedent that was a resident of a Reportable Jurisdiction. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated.
Specified U.S. Person (FATCA)	A U.S. Person, <i>other than</i> (i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group; (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing; (v) any organization exempt from taxation or individual retirement plan; (vi) any bank; (vii) any real estate investment trust; (viii) any regulated investment company; (ix) any common trust fund; (x) any trust that is exempt from tax; (xi) a dealer in securities, commodities, or derivative financial instruments; (xii) a broker; or (xiii) any tax-exempt trust under a plan – that is defined in the U.S. Internal Revenue Code. Please find a full definition of Specified U.S. Person in subparagraph 1(ff) of Article 1 of the Intergovernmental Agreement between the United States of America and South Africa.
Trustee-Documented Trust (FATCA)	A trust established under the laws of South Africa to the extent that the trustee of the trust is a Reporting U.S. Financial Institution, Reporting Model 1 Financial Institution, Participating Financial Institution and reports all information required to be reported pursuant to the Agreement with respect to all U.S. Reportable Accounts of the trust as described in paragraph IV(A) of Annexure II of the Intergovernmental Agreement between the United States of America and South Africa
U.S. Person (FATCA)	(1) a U.S. citizen or resident individual, (2) a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, (3) a trust if (i) a court within the United States that would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or (4) an estate of a decedent that is a citizen or resident of the United States – interpreted in accordance with the U.S. Internal Revenue Code.