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Submit the completed form and supporting documents to:

Gryphon Collective Investments (RF) Proprietary Limited

E-mail [invest@gryphon.com](mailto:invest@gryphon.com)

Company Registration No. 1996/015790/07

If you have any questions, contact us at:

1st Floor, Bonitas Office Park East, Southgate, Tyger Waterfront, 7530

E-mail [invest@gryphon.com](mailto:invest@gryphon.com)

T. +27 21 915 5100

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### Important Information

- The investment will only be finalised once we receive the fully completed, dated and signed forms, along with all the necessary supporting documents. This includes your verified bank account details, Financial Intelligence Centre Act 38 of 2001 (FICA) and all amendments, and Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS) requirements, if applicable.
  - Please ensure the form is signed and dated before submitting it to us. Please initial the bottom of each page, as well as any changes made on this form.
  - Your funds also need to reflect in our bank account.
  - In terms of the Financial Intelligence Centre Act (FICA), we, as the accountable institution, may not establish a business relationship or conclude a single transaction with you unless we have taken steps to identify and verify you. We will, therefore, not invest your funds in the market until we have met the necessary regulatory requirements. Verification may be done with external parties.
  - Gryphon will only make payments into the bank account of the registered investor; no third-party payments or Credit Cards will be allowed.
  - **Individual investors into the Gryphon Dividend Income Fund should not deposit funds for investment after the 20th of a month. The DWT levied by SARS and withheld by the fund will dilute the income generated. For further information please contact [invest@gryphon.com](mailto:invest@gryphon.com)**
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### 1. Investor Details (all fields are compulsory)

Please note: the following details must be completed in the name of the investor, regardless of who the payer is.

Title: Mr  Ms  Other (please specify): \_\_\_\_\_

Full Name(s): \_\_\_\_\_

Surname: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ (dd/mm/ccyy) Country of Birth: \_\_\_\_\_

Identity Number: \_\_\_\_\_ Nationality: \_\_\_\_\_

Passport Number: \_\_\_\_\_ Passport Country of Issue: \_\_\_\_\_

Passport Expiry Date: \_\_\_\_\_ (dd/mm/ccyy) Occupation: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Postal Address: \_\_\_\_\_

(if different from residential address)

Postal Code: \_\_\_\_\_

Home Number: \_\_\_\_\_

(Country and area codes) e.g. +27 21 5555

Work Number 1: \_\_\_\_\_

(Country and area codes) e.g. +27 21 5555

Cellphone: \_\_\_\_\_

(Country and area codes) e.g. +27 21 5555

Work Number 2: \_\_\_\_\_

(Country and area codes) e.g. +27 21 5555

E-mail Address: \_\_\_\_\_

How did you hear about Gryphon? (Financial Adviser/Facebook/LinkedIn/Referral etc.) \_\_\_\_\_

Initial: \_\_\_\_\_

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Primary Country of Tax Residence: \_\_\_\_\_

Tax Identification Number: \_\_\_\_\_

Are you a registered tax payer in any country other than your primary country of residence?

Yes  No

If yes, please complete Annexure B.

## 2. Source of Funds for this Investment (compulsory)

Please advise from where the funds for this investment originate.

Source of Funds  Salary  Inheritance  Savings  
 Bonus  Other (please specify): \_\_\_\_\_

Gryphon reserves the right to request documentary proof of source e.g. income statement, bank statement.

## 3. Politically Exposed Person

A Politically Exposed Person (PEP) is a term describing someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.

I consider myself to be, or to be associated with, a Politically Exposed Person: Yes  No

If yes, please provide details: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 4. Investor Banking Details

Please specify which account should be used when selling unit trusts (ad hoc and recurring withdrawals) and/or for income distribution (interest/dividend) payments.

- Please supply us with Proof of Bank Details (e.g. cancelled cheque or bank statement not older than 3 months).
- We will only make payments into the account of the registered investor. We will not make payments to third-parties.
- We will not make payments into Credit Cards, Money Market, Bond Accounts.
- Useful tip: Accurate information always facilitates prompt payment from us.

### DEFAULT BANK ACCOUNT (COMPULSORY)

Name of Account Holder: \_\_\_\_\_

Name of Bank: \_\_\_\_\_

Account Number: \_\_\_\_\_

Name of Branch: \_\_\_\_\_

Branch Code: \_\_\_\_\_

Type of Account: \_\_\_\_\_

### ADDITIONAL BANK ACCOUNT (OPTIONAL)

Name of Account Holder: \_\_\_\_\_

Name of Bank: \_\_\_\_\_

Account Number: \_\_\_\_\_

Name of Branch: \_\_\_\_\_

Branch Code: \_\_\_\_\_

Type of Account: \_\_\_\_\_

Initial: \_\_\_\_\_

## 5. Investment Details

Gryphon Fund	Class	Lump Sum Deposit	Monthly Debit Order	Income Distribution	
				Reinvest	Payout
Gryphon Money Market Fund Lump Sum Minimum R2 000 Debit Order Minimum R200 p.m. Cut-off Time 11h30					
<b>Gryphon Dividend Income Fund*</b> Lump Sum Minimum R10 000 Debit Order Minimum R2 000 p.m. Cut-off Time 11h00					
Gryphon Prudential Fund Lump Sum Minimum R2 000 Debit Order Minimum R200 p.m. Cut-off Time 14h00					
Gryphon Flexible Fund Lump Sum Minimum R2 000 Debit Order Minimum R200 p.m. Cut-off Time 14h00					
Gryphon All Share Tracker Fund Lump Sum Minimum R2 000 Debit Order Minimum R200 p.m. Cut-off Time 14h00					
Gryphon Global Equity Fund Lump Sum Minimum R2 000 Debit Order Minimum R200 p.m. Cut-off Time 14h00					

\* Individual investors into the Gryphon Dividend Income Fund should not deposit funds for investment after the 20th of a month. The DWT levied by SARS and withheld by the fund will dilute the income generated. For further information please contact [invest@gryphon.com](mailto:invest@gryphon.com)

## 6. Debit Order Instructions

- We do not draw funds from Credit Cards, Money Market or Bond Accounts.
- Please allow 7 business days' notice to process once-off and recurring Debit Orders.
- Monthly Debit Orders will automatically be cancelled if funds are returned from the bank after 3 consecutive attempts.
- Debit Orders are subject to a 40-day clearance period.
- We cannot accommodate once-off debit orders with an initial investment application.

### Investment Options:

Please deduct the total investment amount, as indicated in section 5, as follows:

Monthly Debit Order: on the 2nd day of each month starting \_\_\_\_\_(mm/ccyy)

Annual Increase \_\_\_\_\_%

OR

Amount \_\_\_\_\_

Annual Increase Date \_\_\_\_\_(dd/mm/ccyy)

Initial: \_\_\_\_\_

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## 7. Financial Advisor

### 7.1 Financial Advisor

Brokerage Name: \_\_\_\_\_ Brokerage Code: \_\_\_\_\_  
Full Name(s) and Surname: \_\_\_\_\_ Broker Code: \_\_\_\_\_  
Identity Number: \_\_\_\_\_ Telephone Number: \_\_\_\_\_  
(Country and area codes) e.g. +27 21 555 5555  
E-mail: \_\_\_\_\_ FSP Number: \_\_\_\_\_

#### Commission Instruction:

I/we wish to appoint the broker/financial advisor whose details appear above as the preferred intermediary.

#### Financial Advice Fees:

(If no fee class is indicated on the form, no financial advisor fee will be paid.)

**A schedule of fees, charges and maximum commissions is available on request from GCI.**

#### Ongoing Financial Advice Fee:

Ongoing Financial Advice Fee: \_\_\_\_\_ % per annum

**\*Please note: The fee earned on investments into the Dividend Income Fund rebate classes (i.e. A and C classes) must be stipulated above.**

Signature of Investor: \_\_\_\_\_

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### 7.2 Declaration by Financial Advisor

Financial Advisor:

FSP License

I declare that I am a licensed Financial Services Provider or a representative of a Financial Service Provider. I am authorised to sell unit trusts.

FSP License Number:

FICA Declaration

I confirm that I have identified the investor of this application, as well as the person acting on their behalf. I have verified their identity in line with the requirements of the Financial Intelligence Centre Act, 38 of 2001 and Financial Intelligence Centre Amendment Act, 2017, and any legislation, regulations or guidelines related to it (see *Annexure A*).

I will keep a record of the verification documents as required in terms of FICA. I will make available, on request, copies of these documents as well as details of the verification procedures followed.

Signature of Financial Advisor \_\_\_\_\_

Initial: \_\_\_\_\_

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## 8. Disclosures

1. Gryphon Collective Investments ("GCI") is a member of the Association for Savings & Investments SA (ASISA).
2. Collective Investment Schemes (CIS) are generally medium to long-term investments. The value of participatory interests (units) may go down as well as up and past performance is not necessarily a guide to future performance.
3. Fluctuations or movements in exchange rates may cause the value of the underlying international investments to go up or down.
4. CIS Unit prices are calculated on a net asset value (NAV) basis, which is the total value of all assets in the portfolio, including income accruals and less any permissible deductions from the portfolio.
5. All instructions for transactions received on or before the fund's cut-off time will be traded at same day ruling prices. Fund valuations take place at 15h00 each business day and forward pricing is used. Fund of Funds are valued at 09h00 on the morning following the previous day's closing prices.
6. GCI reserves the right to withhold the processing of any unclear, incomplete or ambiguous requests forwarded by the unit holder or his/her/its representative.
7. Repurchase payments will be made to the unit holder only, no Credit Card Accounts or third-party payments.
8. Investments in the selected funds will be placed in either Class A, B, C or C1; units with different applicable fees and charges, according to the policy of GCI.
9. A maximum annual service charge per fund, excluding VAT, applies: Gryphon All Share Tracker Fund A-class - 0.20%; Gryphon Money Market Fund A-class - 0.25%; Gryphon Dividend Income Fund A-class - 0.9%; Gryphon Prudential Fund B-class - 0.3%; Gryphon Flexible Fund B-class - 0.3%, and Gryphon Global Equity Fund B-class - 0.5%. These fees are calculated and accrued daily and levied monthly on the market value of the fund portfolios.
10. A Fund of Fund is a portfolio that invests in other portfolios of Collective Investment Schemes (Unit Trusts), which levy their own charges, which could result in a higher fee structure for the Fund of Funds.
11. Brokerage and marketable securities tax, audit fees, bank charges, trustee and custodian fees are levied against the portfolios.
12. The funds may also be available via certain Linked Investment Service Providers (LISPS), which levy their own fees.
13. A schedule of fees, charges and maximum commissions is available on request from GCI.
14. GCI reserves the right to close and re-open certain funds from time to time in order to manage them in accordance with mandates.
15. The fund manager may borrow up to 10% of the market value of a portfolio to bridge insufficient liquidity.
16. The scheme may engage in securities borrowing and script lending.
17. Investment Statements will be sent to investors at the beginning of the month following an income distribution, or when participatory interests are acquired or redeemed. They are also available on request or online.
18. Quarterly portfolio reports are available on request.
19. Should any guarantees be furnished against price fluctuations, this shall be by a party other than GCI.
20. I/We indemnify and hold GCI harmless against any claim which I/we may have resulting from conducting my/our business via online services (including e-mail) or by way of facsimile and hereby consent to GCI taking any security precautions it may consider necessary, including magnetic recordings and storage of instructions.
21. This application constitutes an agreement and a copy hereof is available and will be provided on request.
22. Directors and personnel of GCI may be invested in any of the portfolios at any time.
23. Complaints may be lodged in writing with the Compliance Officer of GCI at the address on this form. Complaints may also be lodged with the Financial Sector Conduct Authority.
24. GCI holds professional indemnity cover.
25. GCI reserves the right to determine the minimum investment amount on an annual basis. If the investment falls below the prescribed minimum investment amount, investors must either increase the amount invested or redeem investments immediately.

Initial: \_\_\_\_\_

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26. Income tax legislation is subject to amendment and any such changes could affect the tax status of future dividend income distributed by the Gryphon Dividend Income Fund.

27. Although reasonable steps have been taken to ensure the validity and accuracy of the information in this document, GCI does not accept any responsibility for any claim, damages, loss or expense, howsoever arising, out of or in connection with the information in this document, whether by a client, investor or intermediary. This document should not be seen as an offer to purchase any specific product and is not to be construed as advice or guidance in any form whatsoever. Investors are encouraged to obtain independent professional investment and taxation advice before investing in any Collective Investment portfolio.

28. Debit Orders are subject to a 40-day clearance period.

29. Only distribution payout amounts exceeding R50 will be made. Amounts of R50 and below will be reinvested.

30. Payments to new bank accounts could take up to 48 hours, and are subject to proof of banking details.

31. 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 and share 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 the Manager's employees (if relevant), or agents who require such information to carry out their duties. I/we consent to the processing of my/our personal information/data and the disclosure of my/ our personal information/data to any tax authority and/or as may be required to comply with FATCA and the Common Reporting Standard (CRS) as explained in the Terms and Conditions and the Compulsory Foreign Tax Declaration and Self-Certification attached hereto. I consent to the Manager making enquiries of whatsoever nature for the purpose of verifying the information disclosed in this application and I expressly consent to the Manager obtaining any other information concerning me from any source whatsoever to enable the Manager to process this application.

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## 9. Investor Declaration

GCI wishes to inform you that all information regarding your personal and financial matters is treated as strictly confidential.

I certify that all information, including information regarding my country of citizenship and my country of tax residence, is correct. I also warrant that I have full power and authority and that I am legally competent to enter into this transaction, with the necessary assistance, where such assistance is a legal requirement, and I agree by my signature, that I have read and understood the information provided in this application form, including that under the "Disclosures" section and that all information provided by me is true and correct in all respects.

I acknowledge that Gryphon will retain personal information as permitted or required to do so in terms of Applicable Laws. However, as a general rule, Gryphon may retain personal information for the longest period permitted by such Applicable Laws should Gryphon foresee a requirement to retain it for a lawful purpose. (for example, for the purposes of complaints handling, legal processes and proceedings).

Investor Signature: \_\_\_\_\_ Date Signed: \_\_\_\_\_(dd/mm/ccyy)

\*Authorised Signatory: \_\_\_\_\_ Date Signed: \_\_\_\_\_(dd/mm/ccyy)

\*Authorised signatory/(ies) acting on behalf of the investor.

Please refer to Annexure A and Annexure B for additional information/documentation required.

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Initial: \_\_\_\_\_

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In terms of the Financial Intelligence Centre Act 38 of 2001 ("FICA"), and the regulations thereto, Gryphon Collective Investments is compelled to identify and verify the identity of its clients.

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We require the following original documents, or a certified copy of the following original documents:

### Natural Persons:

#### 1. SA Citizen/Resident

- 1.1. ID Document
- 1.2. Proof of Residential Address (less than three months old)
- 1.3. A document(s) confirming Income Tax Number as registered with SARS

#### 2. Foreign Citizens

- 2.1. Copy of Passport
- 2.2. Proof of Residential Address (less than three months old)
- 2.3. Proof of Source of Funds

#### 3. Minor

- 3.1 Acting on Behalf of a Minor Form
- 3.2 Birth certificate
- 3.3 Guardian's FICA
- 3.4 FICA of the person investing on behalf of the minor (if different to the guardian)

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### Legal Persons:

#### 4. SA Companies

- 4.1. Certificate of Incorporation (CM1 or CoR15.2), Certificate of Change of Name of Company (CM9), where applicable, Notice of Registered Office & Postal Address (CoR21) bearing Registrar's stamp and signed by the Company Secretary and Certificate of confirmation issued by Cipro of Register of Directors, Auditors and Officer (CoR39) bearing the Registrar's stamp.
- 4.2. Proof of Business Address (less than 3 months old).
- 4.3. Documents as set out in 1.1 and 1.2 above in respect of the manager, all authorised representatives, all directors, and all individuals holding 25% or more of the voting rights at a general meeting.
- 4.4. Proof of Authority to act for company i.e. Director's resolution.
- 4.5 Document(s) confirming Income Tax Number as registered with SARS.
- 4.6 Documents as set out in 3.1 & 3.2 for legal persons holding 25% or more of the voting rights at a general meeting.

#### 5. SA Close Corporations

- 5.1. Founding Statement & Certificate of Incorporation (CK1) & Amended Founding Statement (CK2), if applicable, containing Registrar's stamp and signed by an authorised representative/employee.
- 5.2 Proof of Business Address (less than 3 months old).
- 5.3 Document(s) confirming Income Tax Number as registered with SARS.
- 5.4 Documents as set out in 1.1 and 1.2, as applicable in respect of each member and all authorised representatives.
- 5.5 Proof of Authority to act for close corporation i.e. member's resolution.

#### 6. Foreign Companies

- 6.1. Official document from foreign regulator witnessing incorporation, bearing the name, number and address.
- 6.2 Proof of Business Address (less than 3 months old).
- 6.3 Documents as set out in 1.1 and 1.2 above in respect of the SA manager, all authorised representatives, all directors, and all individuals holding 25% or more of the voting rights at a general meeting.
- 6.4 Proof of Authority to act for company i.e. Director's resolution.
- 6.5 Applicable documents in respect of legal persons holding 25% or more of the voting rights at a general meeting.

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## 7. Retirement Funds

### 7.1 Registered pension/provident/medical aid schemes

- 7.1.1 Copy of Certificate of Registration issued by the Registrar of Pension Funds.
- 7.1.2 Registration Number of Pension Fund on a Financial Services Board letterhead (if it does not appear on the Certificate of Registration).
- 7.1.3 List of authorised signatories with ID and proof of address not older than 3 months for each individual.

### 7.2 Non-registered pension/provident/medical aid schemes

- 7.2.1 Trust Deed or Founding Document.
- 7.2.2 Certificate of Registration.
- 7.2.3 Name and details of the Principal Officer.
- 7.2.4 Names of the appointed trustees.
- 7.2.5 Proof of Appointment of authorised person/s (resolutions) with copy of ID and Proof of Address (not older than 3 months).
- 7.2.6 Proof of Registered Address.
- 7.2.7 Bank statement or cancelled cheque reflecting Proof of Banking Details.
- 7.2.8 Bank statement or cancelled cheque reflecting Proof of Banking Details.

Due diligence for trustees, Principal Officer and authorised persons:

- If individuals, as per individual requirements i.e. copy of ID or passport and verification of residential address via utility bill not older than 3 months;
- If legal entities, as per requirements for the legal entity as per the type to the level of ultimate beneficial owner/beneficiary.

## 8. Other Legal Persons (e.g. clubs, associations, body corporates, retirement funds)

- 8.1. The constitution or other founding document in terms of which legal person is created.
- 8.2 Document(s) confirming Income Tax Number as registered with SARS (if applicable).
- 8.3 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 8.4 Proof of Authority to act for legal person.

## 9. Partnerships

- 9.1. Partnership agreement.
- 9.2 Documents as set out in 1.1 and 1.2 above in respect of all authorised representatives.
- 9.3 Proof of Authority to act for partnership.
- 9.4 Applicable documents in respect of any legal person or an institution exercising executive control.

## 10. Trusts

- 10.1. The main deed or other founding document such as a will.
- 10.2 Letters of Authority from Master (SA trust) or foreign regulator (foreign trusts) to trustees.
- 10.3 Document(s) confirming the Income Tax Number as registered with SARS.
- 10.4 Documents as set out in 1.1 and 1.2 above in respect of an individual founder of the trust, each individual trustee, each individual beneficiary, all authorised representatives.
- 10.5 A Death Certificate or Certificate of Deregistration where founder died or ceased to exist.
- 10.6 Documents as set out in 3.1 and 3.2 above in respect of any institutional beneficiaries, any institutional trustees or institutional founder of the trust.

## 11. Estate Late

- 11.1 For the deceased we require the following:
  - o Copy of death certificate
  - o Copy of ID
- 11.2 Bank details of estate late account
- 11.3 From the executor/s we require the following:
  - o Copy of ID
  - o Appointment letter
  - o Proof of address (less than three months old)
- 11.4 Copy of SARS document confirming the income tax number of the Deceased Estate (Estate must be register with SARS as a Deceased Estate)



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### Declaration and undertaking to be made by the beneficial owner of a dividend (exemption from tax).

Dividends tax is a 20% tax (subject to change) charged to unitholders when a dividend is paid. Dividends tax is withheld by either the company paying the dividend or the withholding agent (such as Gryphon Collective Investments) who pays this over to SARS on your behalf. It applies to all dividends paid by South African resident companies as well as non-resident companies listed on the Johannesburg Stock Exchange (JSE). Non-residents may qualify either for a reduced rate of tax depending on their country of residence and their circumstances, or they may be exempt.

### Notes on completion of this form:

- This form is to be completed by the beneficial owner (of dividends, including dividends in specie e.g. a dividend in the form of a share) to apply for the exemption from dividends tax referred to in Section 64F read with sections 64FA(2), 64G(2) or 64H(2)(a) of the Income Tax Act, No 58 of 1962 (the Act).
- In order to qualify for an exemption, this declaration and written undertaking should be submitted to Gryphon Collective Investments within the period required by the latter (provided it is before payment of an affected dividend) - failure to do so will result in the full 20% dividends tax being withheld/payable.
- Non-South African residents applying for a reduced rate should also complete the DTD (RR) form. Please note that non-South African residents can also apply for dividends tax exemption on dividends declared by a foreign company listed on the JSE. To qualify for this exemption, "Par (j)" should be marked under "Part C: Exemption" of this form.

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### Part A: Withholding Agent

All Collective Investments are managed by Gryphon Collective Investments (RF) (Pty) Ltd. A complete list of Collective Investments, and their Dividends Tax reference numbers, is available on request.

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### SOUTH AFRICAN TAX RESIDENTS ONLY – DECLARATION & UNDERTAKING TO BE MADE BY THE BENEFICIAL OWNER OF A DIVIDEND

### Part B: Beneficial Owner (this part is to be completed by the person entitled to the benefit of the dividend attaching to a share)

Full Name(s) & Surname/ Registered name: \_\_\_\_\_

Nature of person or entity (Please tick the appropriate box):

- An Individual     Listed Company     Unlisted Company     Trust (any type)
- RSA Government, Provincial Administration, Municipality     Retirement Fund (Pension, Provident, Benefit, RA, etc.)
- Other: \_\_\_\_\_

If other, please provide a description/ explanation of nature of the entity/person:

\_\_\_\_\_

Identity/Passport/Registration Number: \_\_\_\_\_

South African Income Tax Reference Number (Tax number is compulsory): \_\_\_\_\_

Physical Address: \_\_\_\_\_

Postal Address: \_\_\_\_\_

Contact Number & Email: \_\_\_\_\_

Country in which resident for tax purposes: \_\_\_\_\_

Initial: \_\_\_\_\_

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## Part C: Exemption

(The beneficial owner entitled to the benefit of the dividend attaching to the share(s) needs to complete this section.)

Please indicate the reason why the beneficial owner is exempt from the dividends tax by ticking the appropriate box (section 64F):

- Par (a) - A company which is resident in South Africa
- Par (b) - The government, provincial government or municipality (of South Africa)
- Par (c) - A public benefit organisation (approved by SARS in terms of Section 30(3) of the Act)
- Par (d) - A trust contemplated in Section 37A of the Act (mining rehabilitation trusts)
- Par (e) - An institution, body, or board contemplated in Section 10(1)(cA) of the Act
- Par (f) - A fund contemplated in Section 10(1)(d)(i) or (ii) of the Act (pension fund, pension preservation fund, provident fund, provident preservation fund, retirement annuity fund, beneficiary fund or benefit fund)
- Par (g) - A person contemplated in Section 10(1)(t) of the Act (CSIR, SANRAL etc)
- Par (h) - A shareholder, in a registered micro-business as defined in the Sixth Schedule to the Act, to the extent that the aggregate amount of the dividends paid by that registered micro business to its shareholders, during the year of assessment, in which that dividend is paid does not exceed R200 000
- Par (i) - A small business funding entity as contemplated in section 10(1)(cQ)
- Par (j) - A person that is not a resident and the dividend is a dividend contemplated in paragraph (b) of the definition of "dividend" in Section 64D (i.e. a dividend on a foreign company's shares listed in SA, such as dual-listed shares)
- Par (k) - A portfolio of investment schemes in securities
- Par (l) - Any person insofar as the dividend constitutes income of that person (i.e. falls into normal tax system such as distributions made by Real Estate Investment Trusts (REITs))
- Par (m) - Any person to the extent that the dividend was subject to STC
- Par (n) - Fidelity and indemnity funds contemplated in section 10(1)(d)(iii) – i.e. only the two, not the other entities mentioned
- Par (o) - A natural person in respect of a dividend paid in respect of a tax free investment as contemplated in Section 12T(1)
- Par (x) - Other (please provide description) \_\_\_\_\_
- Par (z) - Other international agreement

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## Indemnity

By signing this declaration and undertaking, I confirm that the information provided in this declaration is true and accurate. I undertake to inform Gryphon promptly should any of the circumstances as disclosed in this declaration change.

The Collective Investments managed by us or any other entities forming part of the Gryphon group of companies, any agent, employee or director of these entities are hereby indemnified and held harmless against any damage, loss (including consequential loss), cost or expenses incurred as a result of a non-disclosure of information, incorrect disclosure of information or failure to provide information in time.

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## Declaration and Undertaking

In terms of sections 64FA(1)(a)(i), 64G(2)(a)(aa) or 64H(2)(a)(aa) and in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I, \_\_\_\_\_ (full names in print please),

the undersigned, declare that dividends paid to the beneficial owner are exempt, or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above.

Signature: \_\_\_\_\_  
(Duly authorised to do so)

Date: \_\_\_\_\_ (dd/mm/ccyy)

Capacity of Signatory: \_\_\_\_\_  
(if not the beneficial owner)

Initial: \_\_\_\_\_

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# NON-SOUTH AFRICAN TAX RESIDENTS ONLY – DECLARATION & UNDERTAKING TO BE MADE BY THE BENEFICIAL OWNER OF A DIVIDEND (REDUCED RATE OF TAX)

## Part D: Reduced Rate (Non-South African Tax Residents Only)

(This part is to be completed by the person entitled to the benefit of the dividend attaching to a share(s))

Please provide the following details for all the shares held in respect of the which a reduced rate of tax is applicable:

No	Name	Explanation of the reasons the beneficial owner meets the requirements of the DTA
1		
2		
3		

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## Indemnity

By signing this declaration and undertaking, I confirm that the information provided in this declaration is true and accurate.

The Collective Investments managed by us or any other entities forming part of the Gryphon group of companies, any agent, employee or director of these entities are hereby indemnified and held harmless against any damage, loss (including consequential loss), cost or expenses incurred as a result of a non-disclosure of information, incorrect disclosure of information or failure to provide information in time.

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## Declaration and Undertaking

In terms of sections 64FA(1)(a)(i), 64G(2)(a) (aa) or 64H(2)(a) (aa) and in terms of sections 64FA(1)(a)(ii), 64G(2)(a)(bb) or 64H(2)(a)(bb) of the Act:

I, \_\_\_\_\_ (full names in print please),

the undersigned declare that dividends paid to the beneficial owner are exempt or would have been exempt had it not been a distribution of an asset in specie, from the dividends tax in terms of the paragraph of section 64F of the Act indicated above. I undertake to inform Gryphon promptly should any of the circumstances as disclosed in this declaration change.

Signature: \_\_\_\_\_  
(Duly authorised to do so)

Date: \_\_\_\_\_ (dd/mm/ccyy)

Capacity of Signatory: \_\_\_\_\_  
(if not the beneficial owner)

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Initial: \_\_\_\_\_