



3. Collateral cession (for security)

Unit trust fund(s)	Class	Investor code	*N\$	Number of units	All units
_____	_____	_____	N\$ _____	or _____ or _____	<input type="checkbox"/>
_____	_____	_____	N\$ _____	or _____ or _____	<input type="checkbox"/>
_____	_____	_____	N\$ _____	or _____ or _____	<input type="checkbox"/>
_____	_____	_____	N\$ _____	or _____ or _____	<input type="checkbox"/>

* Namibian Dollars selection only available for money market type funds.

Married in community of property? (indicate with an 'X')

Yes
 No
 N/A
 |
 If yes, the written consent of the cedent's spouse is required.

4. Documentation required

- Copy of the deed of pledge / underlying principal agreement between the parties.
- Cession form completed in full by the cedent and cessionary.
- If the cedent is not FIA compliant, copies of the cedent's FIA documents will need to be submitted.

5. Important notes

What is the function of this form?

This form acts as your instruction to record a cession on this investment. This is not the actual cession agreement. You will enter into the cession agreement with a third party (usually a bank or financial institution) to which you are ceding your investment. If you wish to transfer full ownership of your units to a third party, you must fill out a Unit Trust Transfer form, available from www.sanlamallianz.com.na

Cedent

The person or legal entity in whose name the investment is held ie. the investor. The cedent cedes units in the investment to the cessionary (usually a financial institution).

Cessionary

The person or legal entity (usually a financial institution) in whose favour units in the investment have been ceded. The cessionary has full rights in the units that have been ceded to it.

How do we record the cession?

We record a cession by restricting the cedent (the investor) from transacting on the units indicated in section 3.

Who can transact on the ceded units?

As long as the cession remains in place, the cedent may not withdraw, transfer or switch the ceded units without the written consent from the cessionary. If the cessionary agrees, the cedent and cessionary will need to provide consent for the transaction to be processed.

6. Terms and conditions

- The cedent and cessionary acknowledge and understand that the value of the investment may fluctuate from time to time.
- If no units or rand amount is specified, the total unit balance will be ceded. If we receive a request to record a cession for a rand amount, the rand amount will be converted to the equivalent value of units. After we record the cession, the units will be priced at the latest available price. The cedent and cessionary acknowledge and understand that the value of the investment may fluctuate from time to time. The cedent and cessionary accept the risk of such fluctuation and that it is their responsibility to monitor the value of the security given.
- No withdrawals and switches will be allowed on ceded units without the written consent of the cessionary. If the total unit balance has been pledged, both the cedent and cessionary have to consent to a withdrawal. If only a portion of the unit balance has been pledged, the unpledged portion of the balance is available for withdrawal by the cedent and the consent of the cessionary is not required. If the cedent wants to withdraw from the pledged portion of the account, the consent of both the cedent and cessionary will be required. If the cedent's (investor's) personal information has changed, an Investor Details Update form will need to be completed and is available at www.sanlamallianz.com.na
- We accept that the instructions we receive are correct and signed by the authorised individual or signatories (cedent and cessionary).
- We will only carry out instructions that are complete and supported by accurately completed documents. Similarly, your instruction may be delayed if it has been issued incorrectly, is unclear, incomplete, or if the supporting documents have not been submitted in full. All the fields are compulsory and need to be filled out in full.
- The cedent and cessionary understand that the cession will continue to be noted on our records until we are advised by the cessionary, in writing, that the record of cession should be cancelled.
- We or our authorised agents cannot be held liable for direct or indirect damages arising from any cause as a result of us acting on the instructions in this form. Similarly, the cedent (investor) and cessionary will indemnify us, our directors, employees, representatives and agents against any claim that may result from us acting on the instruction in this form or any future instructions received from the cedent or cessionary following the record of a cession.



7. Investor declaration

- I / We confirm that I / We have the authority and am legally competent to enter into and conclude this transaction, with the necessary legal assistance when it is required. The legal guardian must sign the instruction on behalf of the minor.
- I / We have read and understood the contents of this cession form and agree to its terms and conditions.

7a. Signature of cedent (investor)

Signature of investor (cedent): _____ Date:

D D M M Y Y Y Y

OR

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

(e.g. parents / grandparents / guardians of a minor, and all persons authorised to act on behalf of the investor).

Title: Mr Mrs Miss Other (please specify): _____

Capacity: _____

Surname: _____

Full name(s): _____

ID number:

Contact telephone number: _____ Email address: _____

Signature: _____ Date:

D D M M Y Y Y Y

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

7b. Signature of spouse

Signature: _____ Date:

D D M M Y Y Y Y

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

7c. Signature of cessionary

Title: Mr Mrs Miss Other (please specify): _____

Capacity: _____

Surname: _____

Full name(s): _____

ID number:

Contact telephone number: _____ Email address: _____

Signature: _____ Date:

D D M M Y Y Y Y

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

Important information

Unit Trusts schemes are generally medium to long-term investments. Please note that past performances are not necessarily an accurate determination of future performances, and that the value of investments / units / unit trusts may go down as well as up. Unit Trusts are traded at ruling prices and can engage in borrowing and scrip lending. Unit Trusts are calculated on a net asset value basis, which is the total market value of all assets in the portfolio including any income accruals and less any deductible expenses such as audit fees, brokerage and service fees. Actual investment performance of the portfolio and the investor will differ depending on the initial fees applicable, the actual investment date, and the date of reinvestment of income as well as dividend withholding tax. Forward pricing is used. The Manager does not provide any guarantee either with respect to the capital or the return of a portfolio. The performance of the portfolio depends on the underlying assets and variable market factors. Performance is based on NAV to NAV calculations with income reinvestments done on the ex-div date. Lump sum investment performances are quoted. The portfolio may invest in other unit trust portfolios which levy their own fees, and may result in a higher fee structure for our portfolio. International investments or investments in foreign securities could be accompanied by additional risks such as potential constraints on liquidity and repatriation of funds, macro-economic risk, political risk, foreign exchange risk, tax risk, settlement risk as well as potential limitations on the availability of market information. The Manager has the right to close any portfolios to new investors to manage them more efficiently in accordance with their mandates. Standard Bank of Namibia is the appointed trustee of the SanlamAllianz Namibia Unit Trusts Scheme.