

Hedge Fund Portfolios

Legal incapacity/3rd party representing the investor form



IMPORTANT INFORMATION

- 1.1 H4 Collective Investments (RF) (Pty) Ltd (“H4”) is registered as a collective investment scheme manager under the Collective Investment Schemes Control Act, No. 45 of 2002.
- 1.2 H4 has appointed Peregrine Capital (Pty) Ltd (“Peregrine Capital”) as the discretionary hedge fund manager of the Portfolios in Section 5 (“the Portfolios” or “the Investments”).
- 1.3 All documents and forms are available from H4 on request by you, or at www.peregrine.co.za.
- 1.4 This form should be completed if the Investor is without legal capacity to contract e.g. by the parents or legal guardian of a minor Investor, or, by the third party individual with authority to act on behalf of the Investor e.g. an estate executor.
- 1.5 This form should not be used for individuals providing the Investor with a financial service, e.g. advice or intermediary services, as defined in the Financial Advisory and Intermediary Services Act, No. 37 of 2002.
- 1.6 This form should not be used for individuals who are authorised representatives of entities such as companies and trusts.



COMPLETE THE FORM

- 1.7 Complete all the information on this form to ensure that there is no delay in processing this form.
- 1.8 Please initial next to any amendments that you have made on this form



SEND THE DOCUMENTS

- 1.9 Send the documents listed below to hedge@h4ci.co.za
 - Completed legal Incapacity/3rd party representing the investor form
 - Copy of your South African bar-coded ID or South African Smart Card ID, valid passport (if foreign national)
 - Should H4 not be able to verify your residential address, H4 will request proof thereof (e.g. bank statement, utility bill or telephone account less than 3 months old)
 - Proof of authority to act on behalf of the Investor (e.g. proof of guardianship/power of attorney/court order/letters of curatorship/letter of executorship)
 - In certain instances H4 may contact you requesting additional documents
- 1.10 If you have any questions, please contact H4 on **086 000 7993** or hedge@h4ci.co.za.

1. Investor information

First Name and Surname/Entity name	
ID/Passport/Registration number	

2. Authorised person information

Title		Initial(s)	
First name(s)			
Surname			
Relationship to Investor			

Identification type RSA ID Passport Other

If “Other”, please specify document type	
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South African ID number			
Passport number		Expiry date	

Country of issue			
"Other" identification number			
Date of birth		Country of birth	

Residential address

Unit number		Complex name		
Street number		Street/Farm		
Suburb				
City/Town			Postal code	
Country				

Postal address

Same as residential address

PO Box No.		Private Bag No.		Postnet Suite No.	
Suburb				Postal code	

Are any of the Authorised person's addresses "in care of" addresses? Yes No

If "Yes", please provide the name of the "in care of" entity or individual

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Authorised person's contact details

(International dialling code + area code + number)

Home		Work	
Mobile			
Email address			

Country(ies) of citizenship

Note: You can have more than one country of citizenship

South African Citizen Other

If "Other", please list the Investor's country(ies) of citizenship

Country(ies) of citizenship

Country(ies) of residence

Note: You can have more than one country of residence

South African Resident Non-Resident

If "Non-Resident" please list the Investor's country(ies) of residence

Country(ies) of residence

Primary country of residence	
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3. Authorised person profile information required in terms of the Financial Intelligence Centre Act, No. 38 of 2001 ("FICA")

3.1 Domestic Politically Exposed Person or a Foreign Politically Exposed Person

Is the Authorised person a Domestic Politically Exposed Person or a Foreign Politically Exposed Person? (Please refer to Annexure A for a list of the functions this refers to)

Yes No

If "Yes", please provide details of position held

Is the Investor a family member or a close associate of a Domestic Politically Exposed Person or a Foreign Politically Exposed Person (Please refer to Annexure A for a list of the functions this refers to)

Yes No

If "Yes", please provide details of position held, including the nature of the relationship

Is the Investor currently or have they in the past 12 months held the position of the chairperson of the board of directors, the chairperson of the audit committee, the executive officer or the chief financial officer of a company that provides goods or services to any organ of state, including at central, provincial or municipal level, or to any state owned enterprise:

Yes No

If "Yes", please provide details, including the name of the person, the name of the company, the position held in the company, the nature of the goods or services provided, to which part of the state the goods or services are provided, and an approximate annual value of those goods and services:

3.2 Contracts with any local, provincial or national government body or the judiciary, the military, or any state owned entity

Does the Authorised person have any contracts with any local, provincial or national government body or the judiciary, the military, or any state owned entity?

Yes No

If "Yes", please provide details of such contracts

3.3 Links to other countries

Please indicate if the Authorised person has links, business and/or close personal links with regular contact, with a country outside South Africa

Yes No

If the answer is "Yes", please state the country(ies) and nature of the links

4. Authorised person's tax information

Notes:

- This section applies to all Authorised persons whether registered for tax or not
- The South African Revenue Service (SARS) requires H4 to collect tax information from their clients
- Please refer to the H4 tax guide in Annexure B for information on the terms used in this section

4.1 Tax Information

Are you a registered taxpayer?

Yes No

If "Yes", please provide tax information

Country(ies) of tax residence	Tax identification number (TIN)	Are you considered to be a citizen in this country?		Are you considered to be a national in this country?	
		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If you are unable to provide a TIN please provide the reason

If "No", please provide the reason you are not registered for tax

4.2 Foreign Account Tax Compliance Act ("FATCA") and OECD Common Reporting Standards ("CRS")

Notes:

- If 4.2.1, 4.2.3 or 4.2.5 is selected, please ensure that Section 4.1 above is fully completed
- Please refer to Annexure B for additional information on FATCA & CRS

The Investor is

4.2.1	<input type="checkbox"/> a citizen of the United States of America	4.2.2	<input type="checkbox"/> not a citizen of the United States of America
4.2.3	<input type="checkbox"/> resident for tax purposes in the United States of America	4.2.4	<input type="checkbox"/> not resident for tax purposes in the United States of America
4.2.5	<input type="checkbox"/> resident for tax purposes in a foreign country(ies) (other than the USA)	4.2.6	<input type="checkbox"/> not resident for tax purposes in a foreign country(ies)

5. Applicable Portfolios

This authority applies to the Portfolio(s) selected below

Portfolios	
<input type="checkbox"/> Peregrine Capital High Growth H4 QI Hedge Fund	<input type="checkbox"/> Peregrine Capital Pure Hedge H4 QI Hedge Fund
<input type="checkbox"/> Peregrine Capital Dynamic Alpha H4 QI Hedge Fund	
<input type="checkbox"/> Peregrine Capital High Growth H4 Retail Hedge Fund	<input type="checkbox"/> Peregrine Capital Pure Hedge H4 Retail Hedge Fund

6. Investor declaration and consent

By signing below, I confirm that:

- 6.1 I understand and accept that H4 may be legally obliged to disclose the information contained in this form to the South African Revenue Services, and do not object to this disclosure;
- 6.2 I agree to compensate H4 and its employees, agents, officers and directors for all liability, loss, damage and expense that results directly or indirectly from H4 having acted on any information provided by me or on my behalf, in or pursuant to this form;
- 6.3 I consent to H4 collecting, processing, storing and sharing my personal information in the normal course of business and according to the H4 Hedge Fund Portfolios Terms and Conditions;
- 6.4 I acknowledge that any information supplied to H4 in terms of this form is provided voluntarily to H4;
- 6.5 I agree that my personal information may be collected and verified from another source, if not collected directly from me.

By signing below, I represent and warrant that:

- 6.6 I am not providing a financial service, as contemplated in the Financial Advisory and Intermediary Services Act, No. 37 of 2002 ("the FAIS Act"), to clients of H4;
- 6.7 I am not required to be a licensed Financial Services Provider and/or a representative of a licensed Financial Services Provider as contemplated in the FAIS Act;
- 6.8 all information provided in this form and all other documents signed by me in connection with this application form, whether in my handwriting or not, is true and correct;

1st Signatory					
Name		Signature (duly authorised representative)		Date	
2nd Signatory					
Name		Signature (duly authorised representative)		Date	

ANNEXURE A FICA GLOSSARY

1. Associates

Associates in relation to a Domestic Prominent Influential Person and a Foreign Prominent Public Official include, but are not limited to, the following relationships: known intimate partners outside the family unit; prominent members of the same political party, civil organization, labour or employee union as the prominent person; business partners or associates; anyone who has sole beneficial ownership of a corporate vehicle set up for the actual benefit of the prominent person.

2. Business relationship

Business relationship means a business relationship entered into with the expectation that engagements will recur over a period of time.

3. Prominent Influential Person

A prominent influential person is an individual who holds, or has held at any time in the preceding 12 months

The position of—

- 3.1. Chairperson of the board of directors;
- 3.2. Chairperson of the audit committee;
- 3.3. Executive officer; or
- 3.4. Chief financial officer of a company,

as defined in the Companies Act, 2008 if the company provides goods or services to an organ of state.

4. Domestic Politically Exposed Person

A person is considered to be a Domestic Politically Exposed Person if he or she holds, including in an acting position for a period exceeding six months, or has ever held a prominent public position in South Africa. A "Domestic Politically Exposed Person" includes:

- 4.1. The President or Deputy President;
- 4.2. A government minister or deputy minister;
- 4.3. The Premier of a province;
- 4.4. A member of the Executive Council of a province;
- 4.5. An executive mayor of a municipality elected in terms of the Local Government Municipal Structures Act, 1998;
- 4.6. A leader of a political party registered in terms of the Electoral Commission Act, 1996;
- 4.7. A member of a royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003 (Act 51 of 2003);
- 4.8. The head, accounting officer or chief financial officer of a national or provincial department or government component as defined in section 1 of the Public Service Act, 1994;
- 4.9. The municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 or a chief financial officer designated in terms of section 80(2) of the Municipal Finance Management Act, 1999;
- 4.10. The chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999;
- 4.11. The chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000);
- 4.12. A constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001;
- 4.13. An ambassador or high commissioner or other senior representative of a foreign government based in the Republic of South Africa;
- 4.14. An officer of the South African National Defence Force above the rank of major-general; or
- 4.15. A person who holds, including in an acting position for a period exceeding six months, or has held the position of head, or other executive directly accountable to that head, of an international organisation.

For additional reference please refer to: <http://www.fatf-gafi.org/media/fatf/documents/recommendations/Guidance-PEPRec12-22.pdf>.

5. Family members

Family members in relation to a Domestic Prominent Influential Person and a Foreign Prominent Public Official includes such person's spouse, civil or life partner; the previous spouse, civil or life partner; the person's children and step children and their spouse, civil or life partner; such person's parents and siblings, step siblings and their spouse, civil or life partner.

6. Foreign prominent public official

A person is considered to be a foreign prominent influential person if he or she holds that position or has held the position in a foreign country for a period of at least 12 months after the date on which that person ceased to hold that position and includes, but is not limited:

- 6.1. Head of State or head of a country or government;
- 6.2. Member of a foreign royal family;
- 6.3. Government minister or equivalent senior politician or leader of a political party;
- 6.4. Senior judicial official;
- 6.5. Senior executive of a state owned corporation; or
- 6.6. High-ranking member of the military.

ANNEXURE B TAX GUIDE

'National' means that you carry the status of being a national in a country. It differs technically and legally from citizenship. As an example, some individuals may not have the full right to vote or participate in the political life of the country in which they reside. An individual may also have nationality without having full citizenship.

'Citizen' means that you possess citizenship in that country. Citizenship can be acquired by birth, descent, naturalisation or in specific instances by registration, dependent on the laws of the country.

Tax Residence varies from country to country. In general, tax residence is determined and based on the tax residence rules of a country. Please refer to the following link to assist you in determining your tax residence:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-umbers/#d.en.347759>.

DWT and IWT		
Term	Definition	Explanation
DWT	Dividend Withholding Tax	DWT is a tax imposed on shareholders on receipt of dividends. DWT is categorised as a withholding tax as the tax is withheld and paid to SARS by the company paying the dividend or by a regulated intermediary.
IWT	Interest Withholding Tax	IWT will be applied to local interest distributed to non-South African residents for tax purposes. IWT is categorised as a withholding tax as the tax is withheld and paid to SARS by the company paying the interest or by a regulated intermediary.
TIN or its FE	Tax Identification Number (TIN) or its Functional Equivalent (FE) i.e. the number that functions as a TIN	The number that each jurisdiction issues to identify an individual for tax purposes. The TIN could be called something different (FE) in different countries. Examples: <ul style="list-style-type: none"> ▪ SA: Income tax number issued by SARS ▪ US: For an individual this would be their US Social Security Number ▪ UK: National Insurance Number or Unique Taxpayer References

FATCA and CRS		
Term	Definition	Explanation
Additional tax information	Global Tax Information	Additional tax information relates to the disclosure of each tax jurisdiction where the investor could be liable to declare their assets and income, regardless of where the asset is housed, or income is earned.
CRS	OECD Common Reporting Standards	The Common Reporting Standards calls on jurisdictions to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis. South African financial institutions may be legally required to obtain and report certain information contained in this form, and on the Investor's investments, to SARS annually where investors are tax resident in foreign jurisdiction(s). SARS may exchange this information with tax authorities of a foreign jurisdiction(s), pursuant to intergovernmental agreement to exchange financial account information.
FATCA	Foreign Account Tax Compliance Act	The Foreign Account Tax Compliance Act is a United States (US) initiative aimed at reducing the potential for offshore tax evasion. FATCA requires that financial institutions outside the US provide the Inland Revenue Service (IRS) with financial account information they hold on US citizens. The South African government and the US government have entered into an intergovernmental agreement ("IGA") to implement FATCA, which places certain obligations on South African financial institutions to enhance their client identification procedures and to report certain information to SARS annually. The IGA has been given effect in South African law. H4 may be legally required to report certain information contained in this form, and on the Investor's investments, to SARS, where the Investor is identified as a US Person (US citizen or tax resident). SARS may exchange this information with the United States IRS.
US Person	Defines which individuals and organisations fall into the definition	"US Person" means an individual that is a US citizen or resident in the United States.

If you require more information, please visit the following websites

- DWT/IWT www.sars.gov.za
- FATCA www.irs.gov
- CRS www.oecd.org

The IGA between South Africa and the United States, and the U.S. Treasury Regulations which form part of the U.S. Internal Revenue Code, can be downloaded at www.irs.gov.