

SECURITIES ORDER – BUY

When you should use this form

This document is intended for existing investors who wish to buy specific securities on the Investment Platform. If you are a new investor please also complete the New Investor Application (A-1) form.

Important Information

1. Capricorn Asset Management is the Administrator of the investment platform.
2. Please refer to the Investment platform fund summary and the Investment platform terms and conditions, which together with the terms and conditions herein shall, upon approval of this application, become the binding and enforceable agreement between yourself and the Administrator; for all information regarding the Administrators' processes, fees and the funds on offer. These documents are available at any Bank Windhoek branch, from your financial advisor or via our website at www.cam.com.na ("website"). For any queries contact our sales & channel support at (+264 61) 299 1950 or via email cam.info@capricorn.com.na
3. This application may be submitted to your wealth manager, financial advisor or at the Administrator's office at 3rd Floor Capricorn Corner, c/o Nelson Mandela and Hofmeyer Street, Klein Windhoek, Windhoek.
4. An order will only be accepted by the administrator once all fields are duly completed and required documents have been received and the funds available to settle this order have been made available and are held on any one of the following Capricorn Unit Trust funds: Capricorn Investment Fund, Capricorn Selekt Fund or Capricorn Corporate Fund.
5. All securities have different settlement cycles with regard to the buying and selling thereof, this will affect the time of the credit or debit to your unit trust account. Thus, please note that funds will not be available immediately.
6. The order, once accepted by the Administrator, will be valid until the Order Maturity Date, which is subject to a maximum date of 90 days from signature of this form.
7. The order can only be cancelled by written instruction to the Administrator and is subject to the order not being in the process of being fulfilled or having been executed.
8. The execution of this order is subject to the availability of the applicable security at the order price or yield including the CAM trading margin and financial advisor trading margin (if applicable). The order can be executed in the primary or secondary market.
9. Fees will only be charged on the amount of securities successfully executed.

Investor Details

Surname		Client No.	
Full Name(s)			
Entity Name (if applicable)			
Source of Funds			

Settlement and Hold Authorisation

I hereby authorise the Administrator to place an immediate hold on the unit trust account below equal to the Investment Amount and to debit this unit trust account with the consideration on the successful execution of this order. (if applicable)

<input type="checkbox"/> Unit Trust	Fund Name	
	Account No	

Maturity, Coupon, Dividend & Interest Payments Detail (All fees will also be deducted from this account)

I authorise the Administrator to process all amounts relating to maturity, coupons, dividends, interest & fees to the below account:

<input type="checkbox"/> Nominated Bank	<input type="checkbox"/> Unit Trust	Fund Name	
		Account No	

Order Details

I, the Investor, hereby irrevocably instruct the Administrator to execute this order to purchase the following:

TREASURY BILL

- The minimum nominal value investment is N\$ 500,000.

Settlement Date		Maturity Date	
Discount Rate	%	Nominal Value	N\$
		Consideration	N\$
<input type="checkbox"/> New Security	<input type="checkbox"/> Add additional security to existing security (if the same security)		<input type="checkbox"/> Keep additional security separate from existing security (if the same security)

BOND

- The minimum nominal value is N\$ 250,000.

Bond Type	<input type="checkbox"/> GC Bond	Minimum Yield to maturity	%	<input type="checkbox"/> GI Bond	Minimum Spread above inflation	%
Bond Code		<input type="checkbox"/> New Bond Application		<input type="checkbox"/> Additional Bond Application		

Investment Amount ¹	N\$	Order Maturity Date	
¹ The Investment Amount is the approximate amount to be invested. The actual settlement amount (consideration) may be different due to the actual date of execution and/or yield or spread obtained.			
<input type="checkbox"/> New Security	<input type="checkbox"/> Add additional security to existing security (if the same security)	<input type="checkbox"/> Keep additional security separate from existing security (if the same security)	
Fees (Applicable on Treasury Bills & Bonds)			
Fee Description		Fee²	
Administration, coupon processing, custody and Namfisa levy		Maximum 0.15%	%
Investment advice and arrangement fee		Maximum 0.15%	%
³ Financial Advisor Fee Amount		Total	%
N\$			
The total trading margin indicated above is equal to the following percentage of the amount invested (consideration)			%
² The Administrator will charge this once-off trading margin that is expressed as a percentage and represents the difference in the yield-to-maturity rate that the Administrator purchases the bond and the yield-to-maturity rate that it is sold same-day to the client. This fee is compensation to the Administrator and the Advisor for advice and implementation of the bond and to cover the custodian costs, processing of all coupons and Namfisa fees for the entire holding period of the bond whether held to maturity or sold by the client before the maturity date.			
Financial Advisor			
Financial Advisor Name		Advisor Code	
Practice / Company Name			
For Office Use – Details of the actual bond transaction			
Nominal Value	N\$	Consideration	N\$
Settlement Date		Yield / Spread	%

 NSX SECURITIES**Important Information**

- The minimum amount is N\$ 50,000 per transfer and only allowed for clients with assets under management above N\$ 3 million.
- This is only applicable for NSX Shares "Take On" (CAM only performs "Take On" of clients' existing shares and does not facilitate the purchase of new shares).
- The CM42 document needs to be completed and submitted with this form.

Fees

Fee Description	Fees	Fee Collection
N\$ 10 million AUM and above	N\$ 0	Fees will be charged at Inception and then every year February. The client will receive a separate Invoice and the amount will be collected from the Unit Trust Fund as stipulated above.
Between N\$ 3 million and N\$ 10 million AUM	N\$ 2 000 excl. VAT	
Security Name		
NSX Code		Number of Shares
<input type="checkbox"/> New Security	<input type="checkbox"/> Add additional security to existing security (if the same security)	<input type="checkbox"/> Keep additional security separate from existing security (if the same security)

 OTHER SHARES

- Currently only applicable for JSE Listed GLD (NEWGOLD Issuer Ltd)
- The minimum trading amount is N\$ 50,000 per trade and only allowed for clients with assets under management above N\$ 3 million.

Security Name		JSE Code	
Number of Shares		Share Price ⁴	N\$
Order Date		Nominal Value	N\$

⁴Should the client have a specific price in mind at which it must be traded, the price should be included on the sheet (this carries the risk of no fill or partial fill of the trade) if the trade needs to be filled completely then the words "at best" should be entered.

Fees

Fee Description	Fees	Fee Collection
N\$ 3 million AUM and above	0.50%	Fees will be charged at Inception and then every year February. The client will receive a separate Invoice and the amount will be collected from the Unit Trust Fund as stipulated above.
<input type="checkbox"/> New Security	<input type="checkbox"/> Add additional security to existing security (if the same security)	<input type="checkbox"/> Keep additional security separate from existing security (if the same security)

Investor Declaration

- By my signature to this application form I acknowledge that I have been made aware of, understand and accept –
 - That all previous declarations made by me as well as the latest Capricorn investment platform terms and conditions and Bank Windhoek Application End-User Licence Agreement (the “Terms”) will remain binding upon me;
 - That the Administrator has the right, without prior notice to me, to change, modify, add to or remove from portions or the whole of the Terms from time to time. Changes to the Terms will become effective upon such changes being posted to the Website
- The Administrator reserves the right not to accept this order in its sole discretion.
- All securities traded are subject to the rules of the issuer.
- I will not hold the Administrator or its agents liable should the order not be executed successfully for whatever reason.
- I confirm that the Administrator reserves the right to cancel this order in its sole discretion without any recourse.
- Please note that the Securities are only viewable and non-tradable on our digital platform, Capricorn Online.
- The mark-to-market valuation of the bond, which will be reflected on my investment holdings indicated and reported by the Administrator from time to time, is for indicative purposes only. In the event that I wish to sell the bond, it will be subject to the availability of buyers and the prevailing market rates.
- All bonds are held by the Administrator in safe custody with its selected custodial services provider.
- In the event of an increase in regulatory fees, the Administrator reserves the right to charge such fees against the bond's coupon payments and/or maturity value.
- I approve that the full amount in settlement of the securities as per the order including any applicable fees will be charged against the account indicated in this form.

Signature of Investor _____ Date _____

For Bank Windhoek Branches/Broker House/CPW/CAM Official Use Only:

(Please email to cam.service@capricorn.com.na and send the original to the Administrator's Office)

I the undersigned confirm that I have identified & verified the investor.	To be completed by Bank Windhoek Branch / Financial Advisor / CAM Official / CPW Official
Bank Windhoek Branch / Broker House	
Bank Windhoek Official Name / Advisor Name / CAM Official Name	
Employee no / Broker code	
Contact Number	
Signature of Bank Windhoek Official / Advisor / CAM Official	