



National Investment Trust

CIS Manager

# NIT UNIT TRUST

INVESTMENT APPLICATION

Also applicable for Shareholders / UBO of legal entities

## INDIVIDUAL APPLICANT

	First applicant	Joint Applicant
Title		
Surname		
Full Forenames		
Maiden Name (if applicable)		
Permanent Residential Address		
Mailing Address (if different)		
Date of Birth		
Nationality		
Country of birth		
NIC or Passport Number		
Passport Expiry Date		
Marital Status		
Telephone (Home)		
Telephone (Office)		
Telephone (Mobile)		
E-Mail Address		
Previous/Current Occupation		
Previous/Current Employer's Name		
Employer's Address		

Please indicate if you wish to receive periodical information to be delivered to your E-Mail Address provided above.

- Yes    No

### Legal Instructions (if applicable)

Joint applicants' declaration [Please tick]

In the case of joint investors, National Investment Trust Ltd. and the Fund are authorized until further notice in writing:

- To accept instructions from anyone of us
- To accept instructions signed by all of us

If none of the above are ticked, National Investment Trust Ltd. and the Fund are authorized, until further notice in writing, to accept instructions signed by all investors. If any person is signing on behalf of an investor, the relevant Mandate or other evidence of authority should be attached.

## Section 2: Financial Details

### 1. Source of Fund/ Source of Wealth of Investment

The source of my investment is (please tick appropriate box/boxes and provide information requested):

- |                                       |   |
|---------------------------------------|---|
| <input type="checkbox"/> Savings      | <input type="checkbox"/> Share options            |
| <input type="checkbox"/> Salary       | <input type="checkbox"/> Sale of business         |
| <input type="checkbox"/> Inheritance  | <input type="checkbox"/> Sale of property/ Assets |
| <input type="checkbox"/> Retirement   | <input type="checkbox"/> Others; Please specify:  |
| <input type="checkbox"/> Retrenchment |   |

*(You are requested to submit a certified copy document to prove your source of fund / wealth)*

### 2. My Annual income threshold is:

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> 100,000 – 250,000     | <input type="checkbox"/> 250,001 -500,000 | <input type="checkbox"/> 500,001 - 1,000,000 |
| <input type="checkbox"/> 1,000,001 - 2,000,000 | <input type="checkbox"/> Above 2,000,001  |  |

4. Have you ever been convicted in any court of law for a criminal offence or linked to Money Laundering Offences or are there any proceedings now pending which may lead to such a conviction?

Yes  No

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

5. Have you been declared bankrupt or compounded with or made an assignment for the benefit of your creditors in Mauritius or elsewhere?

Yes  No

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

6. Are you acting as a nominee /trustee on behalf of an undisclosed underlying principal(s)?

Yes  No

If yes please disclose: \_\_\_\_\_

7. Do you or any of your close associates or family member<sup>1</sup> occupy any public function<sup>2</sup> here in Mauritius or overseas?

Yes  No

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

DEFINITIONS:

1. Close associates mean- ~ an individual who is closely connected to a PEP, either socially or professionally and ~ any other person as may be specified by a supervisory authority or regulatory body after consultation with the National Committee. Family members mean- ~ an individual who is related to a PEP either directly through consanguinity, or through marriage or similar forms of partnership; and ~ any other person as may be specified by a supervisory authority or regulatory body after consultation with the National Committee.

2. A politically exposed person (PEP) is defined as an individual who is or has been entrusted with a prominent public function.«Public Function» are those who are entrusted with prominent public functions in Mauritius or overseas and includes the Head of State and of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials and such other person or category of persons; includes Heads of state • Heads of government • Ministers and deputy or assistant ministers • Members of parliament or similar legislative bodies • Members of governing bodies of political parties • Members of supreme courts, or any judicial body whose decisions are not subject to further appeal, except in exceptional circumstances • members of courts of auditors or of the boards of central banks • ambassadors, charges d' affaires and high-ranking officers in the armed forces • members of the administrative, management or supervisory bodies of state-owned enterprises • directors, deputy directors and members of the board of equivalent function of an international organisation.

### Section 3: Investment Choice

Sub- Fund	Lump Sum Investment	Monthly Savings Plan (MSP)
NIT Local Equity Fund	Rs	Rs
NIT Global Opportunities Fund	Rs	Rs
NIT Global Opportunities Fund (USD CLASS)	USD	USD
NIT Global Bond Fund	Rs	Rs
NIT Global Bond Fund (USD CLASS)	USD	USD

### PAYMENT METHOD

Please choose your method of payment

Cheque

Monthly Saving Plan  
(Please use Bank Order Form attached)

Bank transfer to the following account number

NIT Local Equity Fund	SBM 61031100000964
NIT Global Opportunities Fund	SBM 61031100000982
NIT Global Opportunities Fund (USD CLASS)	SBM 61026000012371
NIT Global Bond Fund	SBM 61030100056745
NIT Global Bond (USD CLASS)	SBM 61026000039217

## SECTION 4: GENERAL DECLARATIONS

Please read the following carefully. All investors must then sign and date this application form.

I/We apply to invest in units of the sub-fund(s) according to the terms of the Prospectus of the sub-fund(s) and in accordance with the Instructions and Conditions given with this application form.

I/We hereby acknowledge that we have read and understood the Prospectus and agree to be bound by the provisions of the Trust Deed, the Supplemental Deed and the Financial Intelligence and Anti-Money Laundering Act 2002, as may be amended from time to time.

I/We acknowledge that neither the Manager nor the Trustee or any other functionary of the sub-fund(s) guarantees the performance of the sub-fund(s) or the repayment of capital or any particular rate of return or any distribution.

In accordance with anti-money laundering requirements, I/we confirm that I/we have provided verification documents as requested in this form and hereby consent to The National Investment Trust Ltd making reasonable enquiries for the purpose of verifying the information disclosed and obtaining information about me/us.

I/We confirm that the monies I am/we are hereby investing are not proceeds from drug trafficking, illegal arms dealing, robbery or other similar criminal activities and that my/our investment is not designed to conceal such proceeds so as to avoid prosecution for an offence.

I/We declare to the best of my/our knowledge that all statements made in this application and all related documents are true and correct. I/We undertake to promptly notify the Manager of any change in the information and details submitted in this form.

<b>Signature</b>		
<b>Date</b>		
<b>Name of Signatory</b>		
<b>Capacity</b>		
<b>NIC or Passport No.</b>		

**Corporate Seal**

## Section 5 : Instructions and Conditions

1. Copies of the Prospectus, Trust Deed and Supplemental Deed are available at the office of the Manager during office hours.
2. Applications may only be made by persons of 18 years of age or more. However, a parent or guardian of a child under 18 years old may apply on behalf of the child.
3. Not more than two joint applicants will be accepted per application.
4. Applications may be rejected if relevant instructions are not complied with.
5. To meet the requirements of the Financial Intelligence and Anti-Money Laundering Act 2002, investors are required to attach the following documents with this application form:

### *Individual Clients*

- (1) Certified copy\* of their National Identity Card or Passport and Birth Certificate (for minors)
- (2) Certified copy\* of a recent utility bill, showing your names and Permanent Residential Address

Once the completed application form has been submitted and payment remitted, units will be allocated at the issue price ruling on the next valuation day after the payment is received. A contract note will then be sent within 3 business days of the date of the transaction to the investor, showing the number of units purchased and the price. Application Forms and all related documents should reach the Manager before 10h00 on the Valuation day.

All applications received after 10h00 will be processed at the following Valuation day Day's issue price. Valuation Day for all sub-fund(s) are every Thursday, if the latter is a Mauritian Business Day, otherwise the next Mauritian Business Day will be used as the Valuation Day.

<b>Office use only</b>	
Date	
Received by	
Processed by	
KYC Complete	
No of units	
Amount	
Folio No.	
Verified by	

## Section 6 - Data Collection and Protection

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6.1 The Investor acknowledges, understands and agrees that the Relevant Functionary shall, for the performance of its obligations hereunder, collect and, where necessary or required, process, personal information which the Investor hereby voluntarily discloses to it (the "Personal Data"). The Relevant Functionary undertakes to treat the Personal Data confidentially and securely in line with the provisions of the Data Protection Act 2004, as amended from time to time.

6.2 Subject to the payment of a prescribed fee (if any), the Investor acknowledges that he has the right of access to, the possibility of correction of and destruction of, the Personal Data which is in the custody or control of the Relevant Functionary.

6.3 Save as otherwise herein provided, the Relevant Functionary undertakes not to reveal or otherwise disclose the Personal Data to any external body, unless (i) it has obtained the express consent of the Investor, or (ii) it is under either a legal obligation or any other duty to do so, or (iii) the Personal Data is disclosed to any agent, third party service provider, professional adviser or any other person under a duty of confidentiality to the Relevant Functionary group, as well as to certain service providers within the Relevant Functionary group. The Investor expressly acknowledges and agrees that the foregoing disclosures may require that the Personal Data be transferred to parties located in countries which do not offer the same level of data protection as the Investor's home country.

6.4 The following paragraph shall apply to non-individual applicants only:

Where personal information relating to the officers, employees and directors of the Investor is, or is required to be, collected by the Relevant Functionary, the Investor expressly agrees and procures to do all such things that may be required by the Relevant Functionary to ensure that its officers, employees and directors are made aware of the data protection provisions herein and that such officers, employees and directors give their consent with regards to the collection, processing and transfer of such personal information by the Relevant Functionary in accordance with this section on data protection.