

HEDGE FUND PORTFOLIOS ADDITIONAL INVESTMENT FORM

BEFORE YOU INVEST

- 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 3 ("the Portfolios").
- 1.3 All documents and forms are available from H4 on request by you, or at www.peregrinecapital.co.za.

MAKE AN INFORMED DECISION

- 1.4 Read the latest **Minimum Disclosure Document(s)** and the **Key Investor Information Document(s)** to ensure that you have chosen the correct Portfolio(s) to suit the Investor's needs.
- 1.5 Consider getting financial advice
 - Neither H4 nor Peregrine Capital provide financial advice. However, we believe in the merits of good independent advice. If you are not comfortable making your own investment decision, please consider using the services of an Independent Financial Adviser ("IFA")
 - If the Investor has an IFA, please complete the **Financial Adviser Form**

COMPLETE THE FORM & AGREE TO THE Ts & Cs

- 1.6 Read and agree to the latest **H4 Hedge Fund Portfolios Terms and Conditions** of the Investor's investment.
- 1.7 Complete all the information on the 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.
- 1.9 If you have an existing debit order instruction in place and you would like to change this instruction, please complete the **Change of Debit Order Instruction Form**.

SEND THE DOCUMENTS

- 1.10 Send the documents listed below to hedge@h4ci.co.za
 - Completed additional investment form
 - If the Investor's banking details have changed since the Investor's original investment, please submit a **Change of Investor Details Instruction Form** with verification of the Investor's bank details (e.g. cancelled cheque or bank statement, less than three months old)
 - In certain instances H4 may contact you requesting additional documents

MAKE PAYMENT

- 1.11 H4 will not accept payments from any third party, credit card, bond or market linked accounts.
- 1.12 H4 will inform you when your additional investment is approved.
- 1.13 H4 will email the relevant H4 bank account details to you once this additional investment form has been approved.
- 1.14 Please use the Investor's name as a reference, and submit a copy of the EFT to hedge@h4ci.co.za. H4 requires proof of payment before this additional investment can be processed.
- 1.15 Please refer to the relevant section in the **H4 Hedge Fund Portfolios Terms and Conditions** for the cut-off time for the submission of this form and deposit of funds.
- 1.16 Should the funds NOT be reflecting and cleared in the H4 bank account by the cut-off time, the funds will be returned to the Investor, and any loss incurred is for the Investor's account.
- 1.17 The Investor shall not be entitled to receive interest on funds deposited between the date of deposit and the investment date, or on funds returned to the Investor.
- 1.18 If you have any questions, please contact H4 on **086 000 7993** or hedge@h4ci.co.za.

1. Investor information

Investor number			
Name & Surname/Entity name			
Identity/passport/registration number			
Contact details	Full name		
	Mobile		Work
	Email address		

2. Investor profile information required in terms of the Financial Intelligence Centre Act, No. 38 of 2001 (“FICA”)

Note: The law requires that H4 knows the source of the Investor’s income and funds before H4 can process this application

Source of the Investor’s income

Please indicate the Investor’s primary source(s) of income

Notes:

- This refers to the Investor’s primary source(s) of income and does not refer to the source of the funds to be invested in terms of this application
- In order for H4 to comply with the provisions of FICA, H4 may require additional documentation e.g. payslip, financial statements, and/or dividend statements

Salary	Pension	Own Business	Loan(s)	Investment Income
Company profit	Capital	Other (specify)		

Please supply the following information with regards to the Investor’s primary source(s) of income

Salary	
Name of employer	
Nature of the employer’s business/trade/industry	
Position held by the Investor at employer	
Address of employer	
Contact telephone number of employer	
Pension	
Name of fund/insurer providing pension	
Own Business	
Name of business	
Nature of business	
Industry of business	
Address of employer	
Contact number of business	
Investment income	
Details on the nature of the investments	
Company profit	
Details of business trading activities	

If the Investor does not operate on a profit basis, e.g. if the investor is a charity, please advise how Investor is valued, or how its wealth is determined	
Capital	
Source of capital	
Loan(s)	
Source of loan(s), e.g. bank/shareholder/director etc.	
If the lender is not an entity that provides loans in the normal course of business, then please provide additional detail on the lender, such as full names/registered name and identity/passport/registration number	
Other	
Please provide details	

2.1 Source of the Investor's funds

Please indicate the source of funds to be invested in the Portfolio(s)

Note: The Investor may be required to provide proof of source of funds e.g. IRP5 certificate/deed of sale of property

Capital/Savings	Pension	Sale of Business	Donation	Sale of Property
Inheritance	Company profit	Investment Income/Sale of investment		
Other, please specify				

2.2 Domestic Prominent Influential Person or a Foreign Prominent Public Official

Is the Investor a Domestic Prominent Influential Person or a Foreign Prominent Public Official? (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 Prominent Influential Person or a Foreign Prominent Public Official? (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

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

Does the Investor 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

2.4 Links to other countries

Please indicate if the Investor 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

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2.5 Estimated investment horizon of this investment

Please indicate the planned investment horizon of this investment

< 6 months	6 – 12 months	1 – 3 years	3 – 5 years	> 5 years
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2.6 Future transactions

Note: This information is required for FICA purposes and providing this information will not create an obligation on the Investor to enter into such future transactions

With regard to future transactions, please indicate if the Investor intends placing additional funds under H4's management and administration

Yes No Uncertain

If "Yes", please provide as much information as possible, including approximate amount, approximate date and the expected source of the funds

Approximate amount	Approximate date	Expected source of funds
R		

3. Choose your investment

3.1 Qualified Investor Hedge Funds

Notes:

- The issue date for the subscription of participatory interests is the first calendar day of the month
- Should you wish to start a monthly debit order, please complete Section 3.3, Investor's banking details, and 3.4, Regular debit order authority
- You may only authorise a monthly debit order once you have subscribed for the minimum lump sum investment amount of R1 million. The minimum lump sum investment amount of R1 million for investment in a QI Hedge Fund is a regulatory minimum requirement and cannot be amended or waived by H4 Debit orders will be processed on the 28th calendar day of each month, for subscription of participatory interests in the selected Portfolio(s) on the first calendar day of the following month
- If applicable, please insert the percentage of the annual increase in the table below. Such annual increase shall be applicable on the investment anniversary date for the duration of the debit order authority

Portfolios	Additional Lump Sum Investment Amount Minimum: R50 000 per portfolio	Monthly Debit Order Minimum: R5 000 per portfolio	Annual Debit Order Increase
Peregrine Capital High Growth H4 QI Hedge Fund	R	R	%
Peregrine Capital Pure Hedge H4 QI Hedge Fund	R	R	%
Peregrine Capital Dynamic Alpha H4 QI Hedge Fund	R	R	%

3.2 Retail Hedge Funds

Notes:

- Should you wish to implement a monthly debit order, please complete Section 3.3, Investor's banking details, and 3.4, Regular debit order authority
- Debit orders will be processed on the 28th calendar day of each month, for subscription of participatory interests in the selected Portfolio(s) on the first business day of the following month
- If applicable, please insert the percentage of the annual increase in the table below. Such annual increase shall be applicable on the investment anniversary date for the duration of the debit order authority

Portfolios	Additional Lump Sum Investment Amount Minimum: R5 000 per portfolio	Monthly Debit Order Minimum: R1 000 per portfolio	Annual Debit Order Increase
Peregrine Capital High Growth H4 Retail Hedge Fund	R	R	%
Peregrine Capital Pure Hedge H4 Retail Hedge Fund	R	R	%

3.3 Investor's banking details

Notes: Please complete this section if you are setting up a debit order instruction

Name of account holder			
Name of bank			
Branch code			
Account number			
Type of account	Current	Savings	Transmission

3.4 Regular debit order authority

Notes: Monthly debit orders will automatically be cancelled if funds are returned from the bank after 3 consecutive dealing cycles. If a debit order is returned by the bank due to insufficient funds being available or for any other reason, then no additional subscription will be processed.

I/We, the undersigned signatory(ies) of the bank account holder, hereby authorise H4 to withdraw from my/our South African bank account in Section 3.3, the debit order investment amounts detailed in Section 3.1 or 3.2, on the 28th calendar day of each month, for the purchase of participatory interests in the selected Portfolio(s) on the first calendar day of the following month for Qualified Investor Funds or the first business day of the following month for Retail Hedge Funds. All such withdrawals from my/our account will be treated as though signed personally by me/us, and I/we request the bank to debit my/our account with these drawings.

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

4. Investor declaration and consent

By signing below, I/we, the Investor (or for and on behalf of the Investor) confirm that:

- I/we have been free to obtain such independent legal, financial, tax and/or other professional advice in relation to this form and have taken, or otherwise dispensed with, such advice;
- I/we understand 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;

4.3 I/we 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/us or on my/our behalf, in or pursuant to this form;

By signing below, I/we, the Investor (or for and on behalf of the Investor), represent and warrant that:

4.4 if this form is signed in a representative capacity, I/we have the necessary authority to do so and that this transaction is within my/our powers;

4.5 the Investor has full contractual capacity to enter into this form;

4.6 all information provided in this form and all other documents signed by me/us in connection with this form, whether in my/our handwriting or not, is true and correct;

4.7 I am/we are responsible for the accuracy and completeness of all answers, statements or other information provided by me/us or on my/our behalf;

4.8 I/we have read, understood and agree to the latest H4 Hedge Fund Portfolios Terms and Conditions, the Key Investor Information Document(s) and the Minimum Disclosure Document(s), which I/we understand may have changed since the Investor's original investment;

4.9 I/We confirm that I/we have read and understood the risk profile of the Portfolio(s) and I/we understand that it is my/our obligation to familiarise myself/ourselves with and accept the risks associated with this additional investment. I/We further understand that there are no guarantees with regard to my/our capital and the performance of the Portfolios;

4.10 in terms of the Prevention of Organised Crime Act of 1998 ("POCA"), the funds for this additional investment come from a legitimate source. I/We also confirm that my/our income and my/our investments are not in any way affected by the contraventions and prohibitions as set out in both the Protection of Constitutional Democracy Against Terrorist and Related Activities Act of 2004 ("POCDATARA"), and the Financial Intelligence Centre Act of 2001 ("FICA"), and that H4 will not be contravening POCDATARA and FICA by entering into a business relationship with me/us;

4.11 I/we have not received advice from H4 or Peregrine Capital regarding this investment.

1st Signatory					
		Signature (or duly authorised representative)			
Name				Date	
2st Signatory					
		Signature (or duly authorised representative)			
Name				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. Domestic prominent influential persons

A person is considered to be a domestic prominent influential person if he or she holds that position in South Africa, including in an acting position for a period exceeding six months, or the immediate family of such person. A person is also considered to be a domestic prominent influential person for a further 12 months from the date the person ceased to hold that position and includes, but is not limited to:

- 3.1. The President or Deputy President (<http://www.gov.za/about-government/leaders>);
- 3.2. A government minister or deputy minister (<http://www.gov.za/about-government/leaders>);
- 3.3. The Premier of a province (<http://www.gov.za/links/provincial-government>);
- 3.4. A member of the Executive Council of a province (<http://www.gov.za/links/provincial-government>);
- 3.5. An executive mayor of a municipality elected in terms of the Local Government Municipal Structures Act, 1998 (<http://www.salga.org.za/Municipalities%20MCD.html>);
- 3.6. A leader of a political party registered in terms of the Electoral Commission Act, 1996. The leader of a political party is the person identified by the party to occupy the position of the highest level of authority in the party (<http://www.elections.org.za/content/Parties/Political-party-list>);
- 3.7. A member of the royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003. The description of a "senior" traditional leader, therefore, applies to such traditional leaders who exercise authority over a number of headmen or headwomen in accordance with customary law, or within whose area of jurisdiction a number of headmen or headwomen exercise authority (<http://www.cogta.gov.za/?p=938>);
- 3.8. 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 (http://www.gcis.gov.za/gcis/pdf/government_28.pdf);
- 3.9. 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 (<http://www.salga.org.za/Municipalities%20MCD.html>);
- 3.10. 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 (<http://www.gcis.gov.za/content/resourcecentre/contactdirectory/government-structures-and-parastatals>);
- 3.11. 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) (<http://www.govpage.co.za/municipal-entities.html>);
- 3.12. A constitutional court judge or any other judge as defined in section 1 of the Judges' Remuneration and Conditions of Employment Act, 2001 (<http://www.judiciary.org.za/index.html>);
- 3.13. An ambassador or high commissioner or other senior representative of a foreign government based in the Republic of South Africa (<http://www.dirco.gov.za/foreign/forrep/index.htm>);
- 3.14. An officer of the South African National Defence Force above the rank of major-general
- 3.15. Note: This will include persons holding the position of General and Lieutenant General in the South African National Defence Force. (<http://www.dod.mil.za/leaders/leaders.htm>);
- 3.16. The position of:
 - 3.16.1. Chairperson of the board of directors;
 - 3.16.2. Chairperson of the audit committee;
 - 3.16.3. Executive officer; or
 - 3.16.4. 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 and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister of Finance by notice in the Gazette; For additional reference please refer to: <http://www.fatf-gafi.org/media/fatf/documents/recommendations/Guidance-PEPRec12-22.pdf>.

4. 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.

5. 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 to:

Head of State or head of a country or government;

Member of a foreign royal family;

Government minister or equivalent senior politician or leader of a political party;

Senior judicial official;

Senior executive of a state owned corporation; or

High-ranking member of the military.

6. Source of funds

Source of funds means the origin of the monies involved in a business relationship or single transaction. This includes the activity which produced the monies used in the business relationship or single transaction.

7. Source of income

Source of income means the activities or circumstances that have produced or resulted in the total net worth of the person.