

Navigator Investment Services Limited (“Navigator”)

AMENDMENT FORM

Unless defined herein or the context otherwise requires, terms defined in the Investment Account Terms and Conditions (the “Terms and Conditions”) have the same meaning when used herein. The prevailing Terms and Conditions may be obtained from your Financial Adviser or from Navigator Website.

Your request will only be processed when this completed original form is received and verified by Navigator.

Please tick boxes as appropriate and ensure that all fields are duly completed. Any missing fields may cause this form to be rejected

CLIENT’S DETAILS

Main Client’s Name/Company Name

NRIC/Passport No. /Company Registration No. /Unique Entity No.

Joint Client’s Name

NRIC/Passport No.

APPLICATION PROCEDURE

Sections to be completed:

Section 1 (Where Applicable)

Section 7 to 9 (Where Applicable)

Section 2 to 6 (Mandatory)

Section 10 (Mandatory)

SECTION 1: CHANGE OF PERSONAL DETAILS

Correction or change of Name/Identity Number/Nationality (Please enclose documentary evidence.)

SECTION 2: PERSONAL DATA – CONSENT BY THE CLIENT(S)

I/We consent to Navigator (and Aviva related group of companies) collecting, using and/or disclosing my/our personal data (whether contained in this form or from other sources; existing data in our record or to be collected in the future) to issue and administer my existing and/or new accounts, managing my/our relationship with Navigator and/or policy(ies) with Aviva, including the processing of my/our personal data for account maintenance and transaction purposes; for statistical, research, compliance, audit and regulatory purposes; to provide general information on product enhancements and services relevant to my needs.

I/We also consent to Navigator (and Aviva related group of companies) transferring my/our personal data to Aviva related group of companies and/or third party service providers, suppliers, agents, distributors, fund managers or intermediaries, whether located in Singapore or elsewhere, for the above purposes. For full details of the purposes of collection, use and disclosure of your personal data, please visit <http://www.aviva.com.sg/pdpa.html>.

SECTION 3: CHANGE OF ENHANCED CUSTOMER DUE DILIGENCE DECLARATION

(Please note that the Enhanced Customer Due Diligence Declaration is subject to changes. Please refer to Aviva Online (AOL) for the latest version.)

Please note that Navigator will only review applications from **residents/citizens/Corporations/Business** from the following countries

☛ Singapore, Indonesia, Thailand, Malaysia, Philippines, China (Mainland), Hong Kong, Macau, Taiwan, United Kingdom

Are you a citizen of or are any of your Directors/Shareholders have a mailing address in at least one of the following countries ?

Afghanistan, Albania, Algeria, Angola, Antigua, Argentina, Armenia, Azerbaijan, Bangladesh, Belarus, Benin, Bolivia, Bosnia & Herzegovina, Burkina Faso, Burundi, Cambodia, Cameroon, Central African Republic, Chad, China, Côte d’Ivoire, Croatia, Cuba, Democratic Republic of Congo, Djibouti, Ecuador, Egypt, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Greece, Guinea, Guinea-Bissau, Guyana, Haiti, Honduras, Indonesia, Iran, Iraq, Kazakhstan, Kenya, Kosovo, Kuwait, Kyrgyzstan, Lao People’s Democratic Republic (Laos), Lebanon, Lesotho, Liberia, Libya, Macedonia, Madagascar, Malawi, Mali, Mauritania, Moldova, Mongolia, Montenegro, Mozambique, Myanmar, Namibia, Nepal, Nicaragua, Niger, Nigeria, North Korea, Pakistan, Paraguay, Philippines, Russia, Rwanda, Sao Tome and Principe, Serbia, Sierra Leone, Somalia, Sri Lanka, Sudan, Suriname, Swaziland, Syria, Tajikistan, Tanzania, Thailand, Togo, Tunisia, Turkey, Turkmenistan, Uganda, Ukraine, Uzbekistan, Venezuela, Vietnam, Yemen, Zambia and Zimbabwe

If “Yes”, please complete Section 8.

Main Client		Joint Client	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

SECTION 3: CHANGE OF ENHANCED CUSTOMER DUE DILIGENCE DECLARATION (continued)

(Please note that the Enhanced Customer Due Diligence Declaration is subject to changes. Please refer to Aviva Online (AOL) for the latest version.)

Is your **OCCUPATION, EMPLOYER OR BUSINESS / Corporate's nature of business** one of the following?

1. Money Service Business (Pawn Shop Owner / Pawnbrokers; Moneylenders; etc)
2. Casino / other types of gaming / gambling operations (Casino Dealer / Employee; etc)
3. Involved in production / distribution of military products

If "Yes", please complete Section 8.

Main Client		Joint Client	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

SECTION 4: CHANGE OF FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) DECLARATION

Do you / your entity / any of your Directors/Shareholders/Partners/Authorised Signatory/Beneficial Owner have one or more U.S. Indicia*?

*U.S. Resident / Citizen / Place of Birth / Taxpayer ID number / Mailing or Residential Address / Contact Number

If "Yes", please complete the United States of America (U.S.) Person Declaration Form (Available on Aviva Online (AOL))

Main Client		Joint Client	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

SECTION 5: CHANGE OF BENEFICIAL OWNER DECLARATION

"Beneficial Owner", as defined in the MAS Notice on Prevention of Money Laundering and Countering the Financing of Terrorism, means the natural person who ultimately owns or controls a customer or the person on whose behalf a transaction is being conducted and includes the person who exercises ultimate effective control over a body corporate or unincorporated.

For the avoidance of doubt, completion of this section is **not a nomination of beneficiary (ies)** under your Account.

Are you the beneficial owner(s)? Yes No

If "No", please provide the beneficial owner(s) information below, submit a certified true copy of their NRIC/Passport to us and complete **Additional Customer Form**.

Name of Beneficial Owner

NRIC No / Passport No of Beneficial Owner

Relationship to Main / Joint Client

Name of Beneficial Owner

NRIC No / Passport No of Beneficial Owner

Relationship to Main / Joint Client

SECTION 6: CHANGE OF POLITICALLY EXPOSED PERSON (PEP) DECLARATION

Are you or any immediate family member or is/was any of your Director / Shareholder/ Partner/ Authorised Signatory/Beneficial Owner or any of his/her immediate family member currently or previously entrusted with prominent public functions* in Singapore or a foreign country; or a close associate** of one who is/was entrusted with prominent public functions in Singapore or a foreign country?

* "Prominent public functions" includes the roles held by a head of state, a head of government, government ministers, senior civil or public servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, members of the legislature and senior management of international organisations.

** "Close associate" means a natural person who is closely connected to a politically exposed person, either socially or professionally

Main Client <input type="checkbox"/> Yes <input type="checkbox"/> No	Joint Client <input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", please provide the information of PEP below and complete Section 8.	If "Yes", please provide the information of PEP below and complete Section 8.
Name of the person previously or currently entrusted with a prominent public function	Name of the person previously or currently entrusted with a prominent public function
<input type="text"/>	<input type="text"/>
Relationship with Main Client <input type="text"/>	Relationship with Joint Client <input type="text"/>

SECTION 7: CHANGE OF NAVIGATOR COMMUNICATION

I wish to receive paper and electronic versions of Navigator communications.

I wish to receive electronic versions of Navigator communications.

SECTION 8: CHANGE OF SOURCE OF WEALTH DECLARATION

(Please complete this section if your answer is "Yes" for Section 3 or Section 6)

For existing client, if your last declaration is within 1 year prior to the signed date on this form, and there is no change to your declaration, please specify the date of last submission of declaration / / (DD/MM/YYYY)

Otherwise, please complete below.

Please provide FULL details of the following information.

For INDIVIDUAL

1. What is the purpose of your investment?

Retirement Savings Personal Investment

Others (please specify)

2. Please provide the estimated value of your assets and liabilities. (Please provide verification documents such as company annual report, company's profile and copy of certification or incorporation/register if you are the owner or director of a company)

Assets	Amount	Liabilities	Amount
Fixed Assets (eg. Property, vehicle, etc)	<input type="text"/>	Outstanding Long Term Loans (eg. Mortgage, car loan, personal loan, etc)	<input type="text"/>
Savings/Deposits	<input type="text"/>	Outstanding Short Term Loans (eg. Credit card bills, tax liability)	<input type="text"/>
Investments (eg. Stocks and shares, bonds, debentures, managed investments, etc)	<input type="text"/>	Others (please specify)	<input type="text"/>
Others (please specify)	<input type="text"/>		<input type="text"/>
Total	<input type="text"/>	Total	<input type="text"/>

3. Please provide details on the source of funds for this investment. (Please attach a copy of the bank account from which the money is coming)

For CORPORATE

1. What is the purpose of your investment?

2. Please provide the estimated value of your assets and liabilities. (Please provide verification documents such as company's annual report and/or audited financial statements)

Assets	Amount:
Liabilities	Amount:

3. Please provide details on the source of funds for this investment. (Please attach a copy of the bank account from which the money is coming)

SECTION 9: NOMINATION/CHANGE OF BANK ACCOUNT (Applicable to Cash Investment Plan only)

Please apply the change: (Tick **one** only) Apply nominated bank account to All SGD Plans

Apply nominated bank account to All USD Plans

Plan No.

Name of Account Holder(s) Bank Account No.

Name of Bank Name of Branch

Apply above nominated bank account to **ALL** Navigator Cash Investment plans.

- (1) Your redemption proceeds and cash dividend payout (if any) from this plan(s) will be credited into your nominated bank account.
- (2) Please attach the **proof of bank account** with the display of account number and account holder's name i.e. bank statement or internet banking print screen.
- (3) CPF-OA, CPF-SA and SRS payment will be remitted to your Agent Bank or SRS operator for the credit of your CPF Ordinary/Special/SRS Account, as the case may be. CPF-SA payment will be remitted to your CPF Special Account.
- (4) 3rd Party payment is not allowed.

SECTION 10: DECLARATION AND SIGNATURE

I/We

- have received read and agreed to comply with and be bound by the Terms and Conditions and any other terms and conditions that Navigator may issue from time to time (including the terms stipulated in the Cancellation Notice attached to this Form), and acknowledge that this application is subject to the same;
- have received and read the offer documents of each Fund being switched/subscribed into;
- (in the case of individual subscriber(s)) confirm that I/we am/are not undischarged bankrupt(s), have not committed any act of bankruptcy within the last 12 months and no bankruptcy order has been made against me/us during that period, and I/we am/are not subject to any order made under the Mental Treatment and Disorders Act (Cap. 178 of Singapore);
- (in the case of a corporate subscriber) confirm that we are not insolvent and that no order has been made nor a resolution has been passed for our winding up, judicial management or other similar action;
- (in the case of a subscription under an Accredited Invest Plan) confirm and warrant that I/we am/are an "accredited investor" or a person within the meaning of "relevant person" as defined in section 305 of the Securities and Futures Act (Cap. 289 of Singapore) and in accordance with the conditions specified in that section;
- represent that all information given to Navigator is true and correct and undertake to inform Navigator of any change to the information supplied as and when such changes occur;
- acknowledge that Navigator may receive certain notices in relation to my/our investments and Navigator may not forward these notices to me/us;
- consent to disclosure to or by Navigator of any information in relation to my/our Account to or by any of its affiliates (including Aviva Ltd), any person or entity required to facilitate the operation of my/our Account, and/or to comply with all applicable laws, regulations, notices and guidelines, whether or not having the force of law;
- acknowledge that Navigator may reject any of my/our instructions including, but not limited to, those that are incomplete, unclear or ambiguous, or if my/our signature(s) differ(s) from what was originally provided as a specimen to Navigator, and Navigator will not be responsible for any losses that may be suffered by me/us due to such rejection of any of my/our instructions;
- consent that any communication from Navigator (including notices, confirmations, Fund reports and transaction statements) may be sent to me via secured electronic mail via the Secured Website or via such other methods in circumstances as may be determined by Navigator from time to time at its sole discretion;
- understand that the products mentioned are produced in/authorised for sale in Singapore. By proceeding to act on this information I/we am/are warranting that I/we am/are are either a Singapore resident or that the laws and regulations of the jurisdiction I/we am/are in allow me/us to do so;
- am/are aware that, where I/we have applied to close a Plan Account, I/we may incur additional charges if I/we subsequently apply for a new Plan, and such Plan may be on different terms and conditions;
- in respect of Transactions using CPF or SRS monies, I/we acknowledge that Navigator may be required to comply with such rules and regulations and/or terms and conditions relating to that of the CPFIS and/or SRS, as may be applicable; and
- acknowledge and take sole responsibility for any investment decisions committed without the benefit of advice from a tax, legal or Financial Adviser and I/we declare that I/we will not hold the Company or any of its officers, employees or agents liable in any respect whatsoever for any losses that I/we may suffer as a direct or indirect consequence of my/our own investment decision(s).
- understand that no liability can be accepted by Navigator for any legal consequences under the laws of any other country or tax implications that may arise in connection with my / our investment. I / we am also responsible for my / our own tax affairs and hereby declare that I have not been convicted of any serious tax crimes.

Signature of Main Client /
Corporate Authorised Signatory 1

Name

/ /

Date (DD/MM/YYYY)

Signature of Joint Client /
Corporate Authorised Signatory 2 (if applicable)

Name

/ /

Date (DD/MM/YYYY)