

# Stocks and Shares ISA Fund Application Form

Tax Year 2024/2025

ISA

Please complete this form in BLOCK CAPITALS and black ink and return it to AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT, UK.

**Please use this form:**

- If you wish to invest in an AXA Investment Managers stocks and shares Individual Savings Account (ISA) for the tax year 2023/24.
- If you wish to make regular or lump sum payments
- If you are aged 18 or over and you are a UK resident

**Essential information:**

- The maximum investment for a stocks and shares ISA is £20,000 per tax year.
- Further information on how to transfer is contained in the Terms and Conditions, Key Investor Information Document (KIID), Supplementary Information Document (SID) and Prospectus.
- Please read the notes and important information which are contained on the back page.
- Please note that application forms that are not completed correctly or any failure to provide adequate anti-money laundering verification documents may incur delays in setting up your account and investing in the funds.
- Please find more information via <https://www.axa-im.co.uk/client-documentation>

If you need any further information, please call a member of our team on 0345 777 5511 from the UK or 0044 1268 448 667 from overseas. Our lines are open from 9:00am-5:30pm Monday to Friday or email us at AXA-IM@uk.dstsystems.com. For further information please visit our website [www.axa-im.co.uk](http://www.axa-im.co.uk) or for online access to your account please visit [www.axa-im-investing.co.uk](http://www.axa-im-investing.co.uk).

## 1. About the investor in whose name the ISA will be held

Title	Surname	Gender												
Forename(s)														
Address <sup>1</sup>		Postcode <sup>1</sup>												
Landline telephone no.	Mobile telephone no.													
Email														
Occupation (industry)	Occupation (role)													
Date of birth	<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>									Nationality				
Do you have a National Insurance number?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, you must quote it <sup>2</sup>	<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										
Do you already have an OEIC, Unit Trust or ISA with us?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If so, please quote your account number	<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										

<b>Attorney details (if applicable)</b>									
Title	Date of Birth								
Surname	Forename(s) (in full)								
Address									
Postcode	Country								
Phone Number	Email Address								
<b>Financial Adviser Details</b>									
Financial Conduct Authority Individual Reference Number	<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>								
Financial Conduct Authority Firm Reference Number	<table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>								
Please tick if cancellation rights do not apply <input type="checkbox"/>	Please tick if advice has been given. We will assume advice has not been given if left unticked <input type="checkbox"/>								
Financial Adviser stamp:									



Investment  
Managers

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Tax Year 2024/2025

## 2. Investment details for advised business\*

Please select the Fund(s) and the unit and/or share class you wish to invest in and write your investment amount in the appropriate box, depending on whether you wish to invest a lump sum or by regular savings. Information on the funds and/or share classes (including charges) and the annual ISA allowance is contained within each KIID and in the SID.

R Class	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts</b>			
AXA Framlington American Growth Fund	£	£	£
AXA Framlington Biotech Fund	£	£	£
AXA ACT People and Planet Equity Fund	£	£	£
AXA ACT Framlington Clean Economy Fund	£	£	£
AXA Framlington FinTech Fund	£	£	£
AXA Framlington Global Thematics Fund	£	£	£
AXA Framlington Global Technology Fund	£	£	£
AXA Framlington Health Fund	£	£	£
AXA Framlington Japan Fund	£	£	£
AXA Framlington Global Sustainable Managed Fund	£	£	£
AXA Framlington Managed Income Fund	£	£	£
AXA Framlington Monthly Income Fund	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£
AXA Framlington UK Sustainable Equity	£	£	£

\* This shareclass may be used for rebate and trail commission arrangements.

	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts (Cont.)</b>			
AXA Framlington UK Mid Cap Fund	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£
AXA Framlington UK Smaller Companies Fund	£	£	£
<b>AXA Distribution Investment ICVC</b>			
AXA Defensive Distribution Fund	£	£	£
AXA Distribution Fund	£	£	£
AXA Ethical Distribution Fund	£	£	£
AXA Global Sustainable Distribution Fund	£	£	£
AXA Global Equity Income Fund	£	£	£
<b>AXA Fixed Interest Investment ICVC</b>			
AXA Global High Yield Fund	£	£	£
AXA Sterling Corporate Bond Fund	£	£	£
AXA Sterling Credit Short Duration Bond Fund	£	£	£

## 3. Investment details for direct investors and advised business\*

Please select the Fund(s) and the unit and/or share class you wish to invest in and write your investment amount in the appropriate box, depending on whether you wish to invest a lump sum or by regular savings. Information on the funds and/or share classes (including charges) and the annual ISA allowance is contained within each KIID and in the SID.

D Class	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts</b>			
AXA Framlington American Growth Fund	£	£	£
AXA Framlington Biotech Fund	£	£	£
AXA ACT People and Planet Equity Fund	£	£	£
AXA ACT Framlington Clean Economy Fund	£	£	£
AXA Framlington FinTech Fund	£	£	£
AXA Framlington Global Thematics Fund	£	£	£
AXA Framlington Global Technology Fund	£	£	£
AXA Framlington Health Fund	£	£	£
AXA Framlington Japan Fund	£	£	£
AXA Framlington Global Sustainable Managed Fund	£	£	£
AXA Framlington Managed Income Fund	£	£	£

	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts (Cont.)</b>			
AXA Framlington Monthly Income Fund	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£
AXA Framlington UK Sustainable Equity	£	£	£
AXA Framlington UK Mid Cap Fund	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£
AXA Framlington UK Smaller Companies Fund	£	£	£
<b>AXA Distribution Investment ICVC</b>			
AXA Defensive Distribution Fund	£	£	£
AXA Distribution Fund	£	£	£
AXA Ethical Distribution Fund	£	£	£
AXA Global Sustainable Distribution Fund	£	£	£
AXA Global Equity Income Fund	£	£	£

\* For advised business no rebate is available on this share class

## 4. Source of Funds / Source of Wealth

I confirm that this investment is funded from:

- Employment income       Inheritance       Sale of property/business       Savings       Sale of investments  
 Other (please provide details) \_\_\_\_\_

Please can you provide details of your source of wealth \_\_\_\_\_

Where relevant we may need to verify the information provided.

## 5. Income and Withdrawal (Redemption) payments - this section is mandatory, please complete in full

**Bank details to pay withdrawal proceeds to.**

All future income payments and withdrawal proceeds will be paid to the below bank details once appropriately verified. Please note that only certain funds pay out income. The bank account must be held in the name of, or on behalf of, the investing individual. Name and full postal address of your bank.

To: The Manager Bank

Name of bank/building society	Branch
Address	Postcode
Building society ref	Account number
Account holder's name	Sort code

Please note we do not make third party payments. Please ensure you are the named account holder.

## 6. Data protection

 By submitting this application form (and in any subsequent dealings, which may include telephone calls) AXA Investment Managers UK Limited will hold and use your personal data. We will only hold and use your information where permitted by and in accordance with relevant laws and regulations. For further details in how we hold and use your personal data, please see our full Privacy Notice which sets out:

- The types of information we collect about you
- How we collect and use the information
- Who we might share the information with and where such information may be transferred
- How long we will hold the information for
- The steps we will take to make sure it stays private and secure
- Your rights in respect of your information.

The Privacy Notice is available to view at <https://www.axa-im.co.uk/privacy-policy>. If you would like to receive a paper copy of the Privacy Notice, please call us on 0345 777 5511 from the UK or 0044 1268 448 667 from overseas. Or, write to us at AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.

You are responsible for making sure you provide us with accurate and up-to-date information. Please inform us when your personal information changes.

If you provide information for or about another person in the context of your dealing with AXA Investment Managers UK Limited, you will need to tell them how to find the Privacy Notice and make sure they agree to us using their information for the purposes set out in it.

## 7. Declaration and authority

I declare that:

- I am aged 18 years or over.
- I have read the Terms and Conditions, the latest KIID and the SID.
- I am a resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform AXA Investment Managers UK Limited if I cease to be a resident of the United Kingdom or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA and a stocks and shares ISA in the same tax year.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, and an innovative finance ISA in the same tax year.
- All subscriptions made, and to be made, to this ISA belong to me. I hereby authorise AXA Investment Managers UK Limited:
  - to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
  - to make any claims to relief from tax in respect of ISA investments on my behalf; and
  - on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

I apply to subscribe for an AXA ISA for the tax year 2024/2025:

- I understand that when making monthly investments I am subscribing to an ISA for the tax year 2024/2025 and each subsequent tax year until further notice.

- I hereby declare that to the best of my knowledge and belief the information on this form is true and correct and I agree to the Terms and Conditions provided.
- I agree to inform AXA Investment Managers UK Limited in writing of any change in my circumstances affecting any of the information on this Application Form.
- I/we confirm that I/we cannot be classified as a U.S. person(s) as defined in the Prospectus.
- I have read the Terms and Conditions which explain that AXA Investment Managers UK Limited may use the delivery versus payment exemption and understand that my money will not be protected from the insolvency of AXA Investment Managers UK Limited during the periods covered by the exemption. I agree, on a continuing basis, to AXA Investment Managers UK Limited making use of the delivery versus payment exemption as described in the Terms and Conditions.

Signature

Date

Attorney's signature:  
(if applicable)

Date

\*We require the account holder to sign in conjunction with the attorney, unless there is a physical or mental incapacity.

# Stocks and Shares ISA Fund Application Form

Tax Year 2024/2025

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## 8. Important information/Notes

- 1 Please state your permanent residential address. You must also include your postcode.
- 2 You should be able to find your National Insurance number on a payslip, P45 or P60 form, a letter from the HM Revenue & Customs, a letter from the Department of Work and Pensions, or a pension order book. Otherwise your employer or tax office may be able to help you. Failure to provide your National Insurance number within 30 days will result in your plan being made VOID with any tax benefits being returned to HM Revenue & Customs.
- 3 If you are making a **LUMP SUM INVESTMENT** you must send us a cheque. Please make your cheque payable to **AXA Investment Managers UK Limited**. The cheque should clearly show that it is drawn on the account in the name of the person making this application. If you have chosen to make **REGULAR INVESTMENTS** please complete the Direct Debit instruction attached. Direct Debits will be collected on the first of each month, or the next working day.
- 4 If you have chosen to invest in **INCOME SHARES** please complete the bank details in section 3 and return it to: AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2U. Alternatively, depending on the unit and/or share class of the fund(s) in which you have invested, income will be automatically reinvested for you.
- 5 If you have appointed an attorney to act on your behalf, we require you to sign in conjunction with the attorney, unless there is a physical or mental incapacity. You also need to enclose a certified copy power of attorney confirming the appointment of your attorney, if you have not **already registered one with us in respect of this account**. Further, before we accept an application, we may make electronic checks on the identity and address of your appointed attorney and may also ask for documentary evidence for verification purposes.

**MONEY LAUNDERING PREVENTION:** To comply with money laundering prevention regulations, if you are planning to invest in regular instalments by Direct Debit: WE REQUIRE YOUR FIRST PAYMENT TO BE MADE BY CHEQUE.

Future Direct Debit Payments must originate from the same account as the original cheque. Payments which include cheques must be held in the name of the investor and originate from a recognised UK or EU Bank or Building Society. AXA Investment Managers UK Limited reserves the right to return applications and/or payment howsoever composed if they do not satisfy these requirements/or which appear to be made from another source.

A copy of this application form, Terms and Conditions, KIID, SID and the most up-to-date copies of the Report and Accounts and the current Prospectus for all Funds within the AXA IM range are available free of charge from the office of the administrator at the address below.

Please send your completed application form to:

**AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.**

Please remember that there may be a delay in implementing your instructions if you do not send them to the correct address.

AXA is a worldwide leader in financial protection and wealth management. AXA Investment Managers UK Limited (AXA IM UK) is the Authorised Corporate Director, Authorised Fund Manager and Investment Manager for a range of Open Ended Investment Companies (OEICs) and Authorised Unit Trusts. AXA IM UK also acts as an ISA plan manager for the AXA IM range of OEICs and Authorised Unit Trusts. AXA IM UK is registered in England and Wales No. 01431068. Registered office: 22 Bishopsgate London EC2N 4BQ. AXA IM UK is authorised and regulated by the Financial Conduct Authority (No. 119368). Administration office: PO Box 10908, Chelmsford, CM99 2UT. Tel: 0345 777 5511. As part of our commitment to quality service, telephone calls may be recorded.

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