

# Unit Trust and OEIC Fund Application Form

## Individual Investors

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 Fund(s) for regular, lump sum and additional investments.

Essential information:

■ 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.dstsyste.ms.com](mailto:AXA-IM@uk.dstsyste.ms.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. Personal details

#### First account holder

Title	Gender								
Surname									
Forename(s)									
Designation <sup>1</sup>									
Address <sup>2</sup>									
Postcode <sup>2</sup>									
Landline telephone no.									
Mobile telephone no.									
Email									
Nationality									
Occupation (industry)									
Occupation (role)									
Date of birth	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Account designation (if applicable)									
Do you already have an OEIC, Unit Trust and/or ISA with us? Yes <input type="checkbox"/> No <input type="checkbox"/>									
If so, please quote your account number									

#### Attorney details for first account holder (if applicable):

Title									
Surname									
Forename(s)									
Date of Birth	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Address									
Postcode									
Country									
Phone Number									
Email Address									

#### Second account holder

Title	Gender								
Surname									
Forename(s)									
Designation <sup>1</sup>									
Address <sup>2</sup>									
Postcode <sup>2</sup>									
Landline telephone no.									
Mobile telephone no.									
Email									
Nationality									
Occupation (role)									
Occupation (industry)									
Date of birth	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

#### Attorney details for second account holder (if applicable):

Title									
Surname									
Forename(s)									
Date of Birth	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Address									
Postcode									
Country									
Phone Number									
Email Address									

If there are more than two investors, please complete their details on a separate piece of paper and attach to this application form.

#### Financial Adviser Details

Financial Conduct Authority Individual Reference Number

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Financial Conduct Authority Firm Reference Number

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Please tick if cancellation rights do not apply ☐

Please tick if advice has been given. We will assume advice has not been given if left unticked ☐

Financial Adviser stamp



Investment  
Managers

2. 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) is contained within each KIID and in the SID.

	LUMP SUM		REGULAR
	D CLASS		
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
AXA Framlington Authorised Unit Trusts			
AXA Framlington American Growth Fund	£	£	£
AXA Framlington Biotech Fund	£	£	£
AXA People and Planet Equity Fund	£	£	£
AXA ACT Framlington Clean Economy Fund	£	£	£
AXA Framlington Global Technology Fund	£	£	£
AXA Framlington Global Thematics Fund	£	£	£
AXA Framlington Health Fund	£	£	£
AXA Framlington Japan Fund	£	£	£
AXA Global Sustainable Managed Fund	£	£	£
AXA Managed Income Fund	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£
AXA Framlington UK Equity Income Fund DM**	£	£	£
AXA UK Sustainable Equity Fund	£	£	£
AXA Framlington UK Mid Cap Fund	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£
AXA Framlington UK Smaller Companies Fund	£	£	£
AXA Distribution Investment ICVC			
AXA Defensive Distribution Fund	£	£	£
AXA Distribution Fund	£	£	£
AXA Ethical Distribution Fund	£	£	£
AXA Global Distribution Fund	£	£	£
AXA Global Equity Income Fund	£	£	£

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

\*\* Class DM distributes income on a monthly basis all other classes distribute income on a quarterly basis. Please see the SID (Supplementary Information Document) for more details.

3. 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) is contained within each KIID and in the SID.

	LUMP SUM		REGULAR	LUMP SUM	
	R CLASS			Z CLASS	
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly	ACC Min £100,000	INCOME Min £100,000
AXA Framlington Authorised Unit Trusts					
AXA Framlington American Growth Fund	£	£	£	£	£
AXA Framlington Biotech Fund	£	£	£	£	£
AXA People and Planet Equity Fund	£	£	£	£	£
AXA ACT Framlington Clean Economy Fund	£	£	£	£	£
AXA Framlington Global Technology Fund	£	£	£	£	£
AXA Framlington Global Thematics Fund	£	£	£	£	£
AXA Framlington Health Fund	£	£	£	£	£
AXA Framlington Japan Fund	£	£	£	£	£
AXA Global Sustainable Managed Fund	£	£	£	£	£
AXA Managed Income Fund	£	£	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£	£	£
AXA Framlington UK Equity Income Fund RM or ZM**	£	£	£	£	£
AXA UK Sustainable Equity Fund	£	£	£	£	£
AXA Framlington UK Mid Cap Fund	£	£	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£	Refer to box on next page	Refer to box on next page
AXA Framlington UK Smaller Companies Fund	£	£	£	£	£
AXA Distribution Investment ICVC					
AXA Defensive Distribution Fund	£	£	£	£	£
AXA Distribution Fund	£	£	£	£	£
AXA Ethical Distribution Fund	£	£	£	£	£
AXA Global Distribution Fund	£	£	£	£	£
AXA Global Equity Income Fund	£	£	£	£	£
AXA Fixed Interest Investment ICVC					
AXA Global High Yield Fund	£	£	£	£	£
AXA Sterling Corporate Bond Fund	£	£	£	£	£
AXA Sterling Credit Short Duration Bond Fund	£	£	£	£	£
AXA Global Short Duration Bond Fund				£	£
AXA ACT Green Short Duration Bond Fund				£	£

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

\*\* Class RM and ZM distributes income on a monthly basis all other classes distribute income on a quarterly basis. Please see the SID (Supplementary Information Document) for more details.

4. Investment details<sup>3</sup> (continued)

	LUMP SUM	
	Z CLASS	
	ACC Min £1 million	INCOME Min £1 million
AXA Fixed Interest Investment ICVC		
AXA US Short Duration High Yield Fund	£	£

	LUMP SUM	
	Z CLASS	
	ACC Min £2 million	INCOME Min £2 million
AXA Fixed Interest Investment ICVC		
AXA ACT Carbon Transition Sterling Buy and Maintain Credit Fund	£	£

	LUMP SUM	
	ZI CLASS	
	ACC Min £100,000	INCOME Min £100,000
AXA Framlington Authorised Unit Trusts		
AXA Framlington UK Select Opportunities Fund	£	£

\*The Gross indicator denotes that the any distribution paid is an interest distribution paid gross of income tax.

5. 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.


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

**Bank details to pay withdrawal proceeds.**  
All future income payments and withdrawal proceeds will be sent 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.

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.

7. 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.

## 8. Declaration and authority (In the case of joint holders, all must sign)

- I/we apply to buy shares as shown in Section 2 based on the price at the next valuation point after receipt of my/our instructions.
- I/we declare that I am/we are over 18 years of age.
- I/we have read the Terms and Conditions, the latest KIID and the SID.
- I/we confirm that I/we cannot be classified as a U.S. person(s) as defined in the Prospectus.
- I/we 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/our money will not be protected from the insolvency of AXA Investment Managers UK Limited during the periods covered by the exemption. I/we 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.

First	
Name	
Signature	Date
Attorney's signature (if applicable)	
	Date

Second	
Name	
Signature	Date

Attorney's signature (if applicable)	
	Date

Third	
Name	
Signature	Date

Attorney's signature (if applicable)	
	Date

Fourth	
Name	
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.

## 9. Important information/Notes

- 1 If this application is made on behalf of a child, the holding must be registered in the name of an adult but designated on behalf of the child. Please put the child's initials in the designation box.
- 2 Please state your permanent residential address. You must also include your postcode.
- 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 send a building society cheque, please ensure the cheque shows your name as the account holder. If you have chosen to invest in **INCOME SHARES** please complete the bank details in section 4. 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 Do not complete this section unless you are a lump sum investor and want income to be paid to you. You may have income paid directly into your bank or building society account. 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. If you want to opt for income to be paid directly into your bank or building society account, simply complete this slip in full and return it to: **AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.**
- 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.

**Unit Trust and OEIC  
Fund Application Form**

**Individual Investors**

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10. Individuals Self-Certification - this section is mandatory, please complete in full

**Tax Residency**  
Tax regulations<sup>1</sup> require us to collect information about each investor’s tax residency<sup>2</sup>. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with Her Majesty’s Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions<sup>3</sup>. We may also, at our discretion, reject your application.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency<sup>2</sup>, please contact your tax adviser.

Country/Countries of Tax Residency	Tax Identification Number*

**Declaration Section**  
I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify AXA Investment Managers immediately if any of this information changes in the future.

Name	
Permanent residential address	
Postcode	
Date of birth*	
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.

<sup>1</sup>The term “tax regulations” refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS). <sup>2</sup>In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser. <sup>3</sup>Those countries that have agreed to exchange information under FATCA and the CRS1. \*If you are a UK Tax resident and not a tax resident anywhere else and also not a US citizen, you are not required to provide details of your ‘Tax Identification Number’ or ‘Date of Birth’. In this case, please provide instead your National Insurance number in the column marked “Tax Identification Number”. If you are not resident in a jurisdiction that is reportable under CRS or FATCA and also not a US citizen, you are not required to provide your ‘Tax Identification Number’ or ‘Date of Birth’.

Direct Debit instruction - for monthly investment only



**Instruction to your bank or building society to pay by Direct Debit**  
Please fill in the whole form including official use box using a ball point pen and send it to:  
AXA Investment Managers UK Limited, PO Box 10908, Chelmsford, CM99 2UT



Name(s) of account holder(s)

Bank/building society account number

Branch sort code

Name and full postal address of your bank or building society

To the manager

Bank/building society

Address

Postcode

Reference number

Service User Number

9

2

6

0

1

3

FOR SS&C OFFICIAL USE ONLY

This is not part of the instruction to your bank or building society.

**Instruction to your bank or building society**

Please pay AXA Investment Managers UK Limited Direct Debits from the account detailed in this instruction subject to safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with AXA Investment Managers UK Limited and, if so, details will be passed electronically to my bank/building society.

Signature (s)

Name

Date

Attorney’s signature: (if applicable)

Name

Date

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

Banks and building societies may not accept Direct Debit instructions for some types of account.

This Guarantee should be detached and retained by the Payer

**The Direct Debit Guarantee**

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit AXA Investment Managers UK Limited will notify you ten working days in advance of your account being debited or as otherwise agreed. If you request AXA Investment Managers UK Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by AXA Investment Managers UK Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when AXA Investment Managers UK Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.



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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 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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[axa-im.co.uk](https://axa-im.co.uk)    



Investment  
Managers