

# Unit Trust and OEIC Fund Application Form

## Individual Investors

JULY 2021

You should use this form if you wish to invest in an AXA Fund(s) for regular, lump sum and additional investments. Further information is contained in the Terms and Conditions, Key Investor Information Document (KIID), Supplementary Information Document (SID) and Prospectus. 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. Cheques should be made payable to 'AXA Investment Managers UK Limited'. Please read the notes and important information which are contained on the back page.

U.S. persons may not invest in AXA Investment Managers' Funds because the Funds are not registered for sale in the U.S.

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 and/or a delay in the acceptance or payment of a transfer or redemption request.

Please tick here if this application is a confirmation of a deal made over the telephone.

## 1. Personal details

### First account holder

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Designation <sup>1</sup>		
Address <sup>2</sup>		
Postcode <sup>2</sup>		
Daytime telephone no.		
Evening telephone no.		
Email		
Nationality		
Occupation (industry)		
Occupation (role)		
Date of birth	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	
Forenames (in full)	
Address	
Postcode	
Country	
Phone Number	Email Address

### Second account holder

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Designation <sup>1</sup>		
Address <sup>2</sup>		
Postcode <sup>2</sup>		
Daytime telephone no.		
Evening telephone no.		
Email		
Nationality		
Occupation (role)		
Occupation (industry)		
Date of birth	D	D M M Y Y Y Y

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

Title	
Surname	
Forenames (in full)	
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

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Financial Conduct Authority Firm Reference Number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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

# Unit Trust and OEIC Fund Application Form

Individual Investors

## 2. Investment details<sup>3</sup>

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 unit and/or share classes is contained within each KIID and in the SID.

	LUMP SUM		REGULAR	LUMP SUM	
	R CLASS		ACC Min £50 monthly	Z CLASS	
	ACC Min £1,000	INCOME Min £1,000		ACC Min £100,000	INCOME Min £100,000
<b>AXA Framlington Authorised Unit Trusts</b>					
AXA Framlington American Growth Fund	£	£	£	£	£
AXA Framlington Biotech Fund	£	£	£	£	
AXA Framlington Emerging Markets Fund	£	£	£	£	£
AXA ACT Framlington Clean Economy Fund	£	£	£	£	
AXA Framlington FinTech Fund	£	£	£	£	
AXA Framlington Global Technology Fund	£	£	£	£	£
AXA Framlington Global Thematics Fund	£	£	£	£	
AXA Framlington Health Fund	£	£	£	£	
AXA Framlington Japan Fund	£	£	£	£	
AXA Framlington Managed Balanced Fund	£	£	£	£	£
AXA Framlington Managed Income Fund	<b>Gross</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	£	£	£	Refer to box on next page	Refer to box on next page
AXA Framlington UK Smaller Companies Fund	£	£	£	£	
<b>AXA Rosenberg Global Investment Company ICVC</b>					
AXA Rosenberg American Fund	£		£	£	
AXA Rosenberg Asia Pacific ex Japan Fund	£		£	£	
AXA Rosenberg Global Fund	£		£	£	
AXA Rosenberg Japan Fund	£		£	£	
<b>AXA Distribution Investment ICVC</b>					
AXA Defensive Distribution Fund	<b>Gross</b>	£	£	£	£
AXA Distribution Fund	£	£	£	£	£
AXA Ethical Distribution Fund	£	£	£	£	£
AXA Global Distribution Fund	£	£	£	£	£
<b>AXA Fixed Interest Investment ICVC</b>					
AXA Global High Income Fund	<b>Gross</b>	£	£	£	£
AXA Sterling Corporate Bond Fund	<b>Gross</b>	£	£	£	£
AXA Sterling Credit Short Duration Bond Fund	<b>Gross</b>	£	£	£	£
AXA Sterling Index Linked Bond Fund	<b>Gross</b>	£		£	
AXA Sterling Strategic Bond Fund	<b>Gross</b>	£	£	£	£
AXA Global Short Duration Bond Fund				£	£

### 2. Investment details<sup>3</sup> (continued)

		LUMP SUM		REGULAR	LUMP SUM				
		Z CLASS					ZI CLASS		
		ACC Min £1 million	INCOME Min £1 million		ACC Min £30 million	INCOME Min £30 million			
<b>AXA Fixed Interest Investment ICVC</b>									
AXA US Short Duration High Yield Fund	<b>Gross</b>	£	£		£	£			
<b>AXA Fixed Interest Investment ICVC</b>									
		LUMP SUM			LUMP SUM				
		Z CLASS					ZI CLASS		
		ACC Min £2 million	INCOME Min £2 million		ACC Min £100 million	INCOME Min £100 million			
<b>AXA Fixed Interest Investment ICVC</b>									
AXA Sterling Buy and Maintain Credit Fund	<b>Gross</b>	£	£		£	£			
<b>AXA Framlington Authorised Unit Trusts</b>									
AXA Framlington UK Select Opportunities Fund		£	£		£	£			

### 3. 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.

### 4. 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.

### 5. Data protection

- i** 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://retail.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 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.

### 6. 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

Signature	Date
Attorney's signature (if applicable)	Date

#### Second

Signature	Date
Attorney's signature (if applicable)	Date
<b>Third</b>	
Signature	Date
Attorney's signature (if applicable)	Date
<b>Fourth</b>	
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.

### 7. 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.

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Individual Investors

## 8. 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

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

Service User Number

9	2	6	0	1	3
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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.

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 Fax: 0344 620 0151. As part of our commitment to quality service, telephone calls may be recorded.

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

