

# Unit Trust and OEIC Fund Application Form

Non-Individual Investors

JULY 2021

This application form is to be used by pension schemes, corporate trustees, charities and other corporate entities wishing to invest in shares/units in AXA Investment Managers' UK authorised funds (OEICs and unit trusts). Further information is contained in the Terms and Conditions, the Key Investor Information Documents ("KIIDs") and relevant Prospectus. Before you sign this form please ensure that you have read an up-to-date version of the relevant Prospectus and the current Terms and Conditions which govern your investment in the Funds. Unless otherwise defined, capitalised terms used in this form shall have the meaning given to them in the Terms and Conditions and relevant 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 in Section 16.

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.

US Persons may not invest in AXA Investment Managers' UK authorised funds because the funds are not registered for sale in the US.

## 1. Type of Entity

Please indicate below the nature of your organisation (please tick one or more boxes) then please complete the mandatory sections of the application as indicated. All entities must complete sections 1,2,7,8,10,11 & 12.

- |  |   |
|--|---|
| <input type="checkbox"/> Regulated Occupational Pension Scheme (Sections above plus 4) | <input type="checkbox"/> Private Corporate (Sections above plus 5)              |
| <input type="checkbox"/> Regulated Personal Pension Scheme (Sections above plus 4)     | <input type="checkbox"/> Independent School/University (Sections above plus 5)  |
| <input type="checkbox"/> Local Authority Pension Scheme (Sections above plus 5)        | <input type="checkbox"/> Public Sector/Local Authority (Sections above plus 5)  |
| <input type="checkbox"/> Unregulated UK or Irish Pension Scheme*                       | <input type="checkbox"/> UK Church or Place of Worship*                         |
| <input type="checkbox"/> Incorporated Registered Charity (Sections above plus 5)       | <input type="checkbox"/> Subject to Statutory Licensing (Sections above plus 5) |
| <input type="checkbox"/> Unincorporated Registered Charity (Sections above plus 4)*    | <input type="checkbox"/> Partnership/Unincorporated (Sections above plus 5)     |
| <input type="checkbox"/> Unregistered Charity*   | <input type="checkbox"/> Lawyer/Accountant/Professional (Sections above plus 5) |
| <input type="checkbox"/> Trust (Sections above plus 4 & 5)                             | <input type="checkbox"/> Club or Society*                                       |
| <input type="checkbox"/> UK or EEA Regulated Firm (Sections above plus 3 & 5)          | <input type="checkbox"/> Sovereign Wealth Fund (Sections above plus 5)          |
| <input type="checkbox"/> Nominee Company- Regulated Parent (Sections above plus 5)     | <input type="checkbox"/> Parochial Church Council*                              |
| <input type="checkbox"/> Nominee Company - Unregulated Parent (Sections above plus 5)  | <input type="checkbox"/> Non UK/EEA Regulated Firm (Sections above plus 3 & 5)  |
| <input type="checkbox"/> Public Limited Company (Sections above plus 5)                |   |

\*please contact us using the following email address: AXA-IM@uk.dtsystems.com

- The applicant/organisation is investing its own funds  
 The applicant/organisation is investing on behalf of another individual(s) or organisation/entities, e.g. by acting as a nominee, distributor or custodian

Please confirm the nature of the relationship

## 2. Agent details

- Please tick this box if advice **has** been provided in connection with this application

Agent stamp

- Please tick this box if advice **has not** been provided in connection with this application

Consultant's name \_\_\_\_\_

Agency number \_\_\_\_\_

Commission % \_\_\_\_\_ Discount % \_\_\_\_\_

Both the commission and discount boxes must be completed. If one or both are incomplete your agent's standard dealing terms will be applied. If AXA IM deem this application to have been advised, then no commission will be payable.

### 3. UK/EU Regulated Financial Services Firm or Nominee Firm

The investment will be registered in the name of the financial services firm or nominee firm. Failure to complete all parts of this section will delay your application.

Full legal name of the firm or nominee	
Address of firm or nominee	
	Postcode
Name of regulatory authority	Regulatory authority reference number
Full name of firm's parent company (if nominee)	
Parent's regulatory authority reference number (if nominee)	

### 4. Pension Schemes or other trusts with individual/corporate trustees

This section is to be completed for schemes or trusts with individual and/or corporate trustees. Charitable trusts that do not hold corporate status should complete this section.

The named holders will have equal and joint signing responsibility.

#### Trust/Scheme Details

For charitable trusts, please provide the charity name and where applicable the registered charity number.

Charity name	Registered charity number
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For pension schemes and charitable trusts that do not have a registered charity number, please provide the HM Revenue & Customs reference number.

Scheme name	HMRC reference number
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Designation (if applicable) (NB: 35 character limit)
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Registering the investment (the investment will be registered in the names of the trustees)

First registered holder/trustee	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Second registered holder/trustee	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Third registered holder/trustee	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Forth registered holder/trustee	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

### 5. Corporate entity

This section is to be completed for corporate entities (including charities with equivalent corporate status).

Name in which the investment is to be registered
Designation (if applicable) (NB: 35 character limit)

For charities, please provide the charity name and where applicable the registered charity number.

Entity name	Registered charity number
	For charitable trusts that do not have a registered charity number, please provide the HM Revenue & Customs reference number.
	HMRC reference number

#### Controller details

Please provide details of the individuals responsible for providing instructions. At least two and up to four individuals may be registered on the account.

First registered controller	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Second registered controller	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Third registered controller	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

Fourth registered controller	
Address	
Postcode	Country
Email	
Phone	
Date of birth	

### 6. Partnership or Unincorporated Business

This investment will be registered in the names of up to 4 partners/principals (please specify). Failure to complete all parts of this section will delay your application.

Full name of the partnership or unincorporated business	
Address of the partnership or unincorporated business	
Postcode	
Names of ALL partners/principals who exercise control over the management of the partnership	

Name, address and date of birth of the partners/principals in whose names the investment is to be registered.

Name	
Address	
Postcode	Country
Date of birth	

Name	
Address	
Postcode	Country
Date of birth	

Name	
Address	
Postcode	Country
Date of birth	

Name	
Address	
Postcode	Country
Date of birth	

Name, address and date of birth of any individuals who own or control over 25% of its capital or profit or voting rights.

Name	
Address	
Postcode	Country
Date of birth	

Please supply a copy of the partnership deed or equivalent.

### 7. 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 organisation. Name and full postal address of your bank.

Name of bank/building society										Branch									
Address																			
Postcode										Account number									
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.

### 8. Beneficial Owners - Supplementary Information

Under UK legislation to prevent money laundering, AXA IM UK is required to verify the identities of investors. In the case of corporate bodies, trusts and other legal arrangements, it is also required to establish the identity of any trustees or other controllers (who have greater than 25% control of the body corporate or property of the trust) that are not named on the application. In addition, it is also required to establish the identity of any individuals who have a specified beneficial interest in the Units or Shares. The Registered Holder retains legal title to the Units or Shares and instructions will only be accepted from the Registered Holder. The beneficial owner details are required for money laundering purposes only. For companies, the beneficial owners that must be listed are any shareholders or other individuals that ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of the company's profits. Note that they may not necessarily be the actual shareholders in the company. Directors of a company do not need to be listed unless they fall within this definition. For trusts and other similar arrangements, the beneficial owners are individuals nominated to benefit from more than 25% of the trust property, as well as any trustees that exercise control.

#### 8.1. Personal details - please give the full name(s) of all Beneficial Owners

##### Beneficial Owner 1

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Permanent residential address		
Postcode		
Date of birth	<input type="text"/>	<input type="text"/>
Capacity*		

##### Beneficial Owner 2 (if applicable)

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Permanent residential address		
Postcode		
Date of birth	<input type="text"/>	<input type="text"/>
Capacity*		

##### Beneficial Owner 3 (if applicable)

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Permanent residential address		
Postcode		
Date of birth	<input type="text"/>	<input type="text"/>
Capacity*		

##### Beneficial Owner 4 (if applicable)

Title	M <input type="checkbox"/>	F <input type="checkbox"/>
Surname		
Forenames		
Permanent residential address		
Postcode		
Date of birth	<input type="text"/>	<input type="text"/>
Capacity*		

If there are more than four Beneficial Owners, please complete their details on a separate piece of paper and attach to this application form.  
\* eg. Trustee, settlor, beneficial, other.

### 9. Key Investor Information Document ('KIID')

The KIID is a two page document that includes a description of a Fund's details. It is important that you read this document prior to making your investment decision. You can opt to download the KIIDs from AXA IM UK's website ([www.axa-im.co.uk](http://www.axa-im.co.uk)) for any future investment(s) in the Funds. To benefit from the online access, regulations require AXA IM UK to send you the relevant electronic link where the relevant KIID can be accessed by using the email address provided in Section 1.3 of this application form.

Please tick the box below if you would like to benefit from this website access and make sure that your email address(es) is(are) stated in section 1.3.

We agree and consent to access the Key Investor Information Document(s) from [www.axa-im.co.uk](http://www.axa-im.co.uk) for any future investment. Alternatively we may request a copy of the KIID from AXA IM UK.

### 10. Declaration and Authorisation

1. We confirm that we have the authority and capacity to invest in the Funds and to make the representations and give the indemnities referred to herein.
2. We declare that the information provided by us in connection with this application and the declarations made in this application form are true and correct to the best of our knowledge and belief.
3. We understand that the Funds and AXA IM UK may rely upon an application for subscription even prior to receipt of subscription monies and the Funds may invest the expected subscription amounts. Any failure or default by us to transmit subscription monies so that they are not received in cleared funds by the settlement time specified in the relevant Prospectus may result in certain losses, costs or expenses for the account of a Fund. We hereby agree to indemnify the Funds, AXA IM UK and any of their delegates, agents or employees for any losses, costs or expenses (including without limitation legal fees, taxes and penalties) incurred by them as a result of a failure or default to arrange transmission of subscription monies so that they are received in cleared funds for the account of a Fund by the settlement time.
4. We acknowledge that AXA IM UK reserves the right to reject any application for Shares/Units in whole or part, and in this event AXA IM UK will return any money sent, or the balance of such monies, at our risk.
5. We agree to provide AXA IM UK with any additional documentation that it or its delegates may require to verify our identity in accordance with current UK anti-money laundering and/or tax legislation. We acknowledge that any delay by us in providing such documentation may result in delayed processing of our application and/or delayed payment of any future redemption payments or processing of Unit/Share transfer requests on our behalf. We further acknowledge that in the event of a failure to provide information in connection with international tax compliance, AXA IM UK or the Fund will be required to report us to HM Revenue & Customs. We hereby hold the Fund and AXA IM UK harmless and indemnify them against any loss arising as a result of a failure to process this application or any subsequent subscription or redemption request if such information required has not been provided by us. We also warrant on a continuing basis that the monies being invested pursuant to this application will not represent directly or indirectly the proceeds of any criminal activity (including, for the avoidance of doubt, the proceeds of drug trafficking and terrorism) and the investment will not be designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
6. We warrant on a continuing basis that the monies being invested pursuant to this application will be duly declared to all relevant tax authorities prior to investment and agree to indemnify and hold harmless the Fund and AXA IM UK and each of their respective directors, officers and employees against any loss, liability cost or expense (including without limitation legal fees, taxes and penalties) which may result from our holdings of Units/Shares in the Fund and which result in the Fund or AXA IM UK incurring any liability to taxation and/or breaching any law or regulation of any local regulatory or taxation authority.
7. We acknowledge that the Funds and the Units/Shares:
  - (i) have not been and will not be registered under the 1933 Act or the securities laws of the United States;
  - (ii) may not be offered, sold, transferred or delivered directly or indirectly in the United States or to or for the account or benefit of any US Person; and
  - (iii) have not been and will not be registered under the 1940 Act.

We further acknowledge that any re-offer or resale of any of the AXA UK Funds in the United States or to US Persons may constitute a violation of United States law. We represent and warrant that we are not a US Person and that we are not acquiring directly or indirectly the Units/Shares on behalf of or for the account of a US Person or with the assets of an ERISA Plan or otherwise in violation of any applicable law or regulation. We will notify the Fund and AXA IM UK immediately if we should at any time become a US Person or hold any of the Units/Shares on behalf of or for the account of, directly or indirectly, a US Person or with the assets of an ERISA Plan, or become prohibited from holding Shares under any applicable law or regulation. We represent and warrant that we are not funding the purchase of Units/Shares with funds obtained directly or indirectly from a US Person or with the assets of an ERISA Plan for such purpose. We will not sell or offer to sell or transfer or deliver Units/Shares to a US Person or any person in violation of any applicable law or regulation.

8. We hereby authorise the Fund, AXA IM UK and their delegates to accept and execute any instructions in respect of the Units/Shares which may in future be acquired by us (including any subsequent redemptions) which are given by us in written form (which shall not include email) or by fax, with the original to follow in the post, ("Instructions") in accordance with the Prospectus and the Terms and Conditions.

We confirm that the persons listed on the attached authorised signatories list and whose specimen signatures appear on that list (the "Authorised Signatories") are duly authorised to give Instructions with respect to Units/Shares held by us in the Fund and to subscribe for additional Units/Shares or redeem Units/Shares on our behalf. Any future notifications amending or updating the authorised signatory list will be valid only if received in writing by AXA IM UK and signed by two Authorised Signatories.

We confirm that any Instruction will only be accepted where signed by two Authorised Signatories for the particular type of instruction, as detailed in the authorised signatory list.

We acknowledge that AXA IM UK is authorised to rely on and may act on, treat as binding and incur no liability in respect of any action taken as a result of any Instruction which purports to have been given and which is accepted by it in good faith as having been given by the persons so authorised and, unless AXA IM UK has received prior written notice to the contrary, regardless of whether the authority of such person has been terminated, expired or otherwise ceased to have effect.

### 10. Declaration and Authorisation (contd.)

9. We acknowledge that the Fund and AXA IM UK may deliver reports, and hereby consent to such delivery of reports, to us by fax or email where we have provided a fax number and/or email address. Such reports may include, but are not limited to, contract notes, confirmations, valuation statements and other reports which may be issued from time to time (the "Reports").

We acknowledge that the Reports sent by fax or electronic form are an unsafe method of communication and fax and electronic messages may be lost, subject to delays, interference by third parties, viruses and their confidentiality, security and integrity cannot be guaranteed. We acknowledge that Reports sent in electronic form cannot be guaranteed to be free of error. We hereby confirm that we will not hold the Fund or AXA IM UK or any of their directors, officers, employees or agents liable now or at any time for any loss, damage, financial or otherwise which we may suffer as a result of any act or omission of the Fund or AXA IM UK and their directors, officers, employees and agents in connection with the electronic delivery of Reports, or any interception or breach of confidentiality or integrity or as a result of any delays, inaccuracy, imperfection, lack of quality, ineffective transmission, viruses, alteration or distortion howsoever arising affecting any fax or electronic communications.

10. We hereby agree to indemnify and hold harmless each of the Fund and AXA IM UK and each of their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by us to any of them (including without limitation any subscription form) and shall notify AXA IM UK immediately if any of the representations herein made are no longer accurate and complete in all respects.

11. We agree to provide to AXA IM UK at such times as it may request such declarations, certificates or documents as each of them may reasonably require in connection with this investment or any future transaction. Should any information furnished to AXA IM UK become inaccurate or incomplete in any way, we hereby agree to notify AXA IM UK immediately of any such change and further agree to request the redemption of Units/Shares in respect of which such confirmations have become inaccurate or incomplete where requested to do so by AXA IM UK. We agree to notify AXA IM UK of any change to our tax classifications immediately.

12. We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases and redemptions of Units/Shares by us or on our behalf in the Funds.

13. Either: (i) we have such knowledge and experience in business and financial matters that we are capable of evaluating the merits and risks of an investment by us in the Units/Shares; or (ii) we will obtain professional advice in order to assist us in evaluating the merits and risks of an investment by us in the Units/Shares.

14. 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 our money will not be protected from the insolvency of AXA Investment Managers UK Limited during the periods covered by the exemption. 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.

#### Data protection

By submitting this application form (and in any subsequent dealings, which may include telephone calls), we acknowledge that AXA Investment Managers UK Limited will hold and use personal data of our (or our service provider's) directors, officers, employees or beneficial owners. AXA Investment Managers UK Limited will only hold and use such information where permitted by and in accordance with relevant laws and regulations. For further details of how AXA Investment Managers UK Limited holds and uses such personal data, please see AXA Investment Managers UK Limited's full Privacy Notice which sets out:

- The types of information collected
- How the information is collected and used
- Who AXA Investment Managers UK Limited might share the information with and where such information may be transferred
- How long AXA Investment Managers UK Limited will hold the information for
- The steps AXA Investment Managers UK Limited will take to make sure it stays private and secure
- Individuals' rights in respect of their information.

The Privacy Notice is available to view at <https://adviser.axa-im.co.uk/en/privacy-policy>. A paper copy of the Privacy Notice can be obtained by contacting AXA Investment Managers UK Limited by writing to us at **Customer Services, AXA**

**Investment Managers UK Limited, PO Box 10908, Chelmsford, CM99 2UT** or telephone on **0345 777 5511**.

We acknowledge that we are responsible for providing AXA Investment Managers UK Limited with accurate and up-to-date information and we agree to inform AXA Investment Managers UK Limited when any of the information provided in this form changes.

We confirm that any personal information provided to AXA Investment Managers UK Limited is provided on the basis that the individual to whom the personal data relates is aware of, and, where necessary, has agreed to, the processing of his or her personal data by AXA Investment Managers UK Limited and its agents, and to the transfer of his or her information outside of the UK and to our receiving on his or her behalf any protection notices that may be applicable.

We consent to the recording of telephone calls made to and received from us by AXA Investment Managers UK Limited, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, operational, security and/or training purposes.

#### Investor 1

Signature	Date
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#### Investor 3 (if applicable)

Signature	Date
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#### Investor 2 (if applicable)

Signature	Date
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#### Investor 4 (if applicable)

Signature	Date
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# Unit Trust and OEIC Fund Application Form

Non Individual Investors

## 11. Investment details

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			Z CLASS	
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly	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 UK Equity Income 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	£	£	£	Refer to box on next page	Refer to box on next page
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 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	£	£	£	£	£



### 11. Investment details (contd.)

		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	
<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	<b>Gross</b>				£	£	

		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>	£	£		£	£	

		LUMP SUM	
		Z CLASS	
		ACC Min £2 million	INCOME Min £2 million
<b>AXA Fixed Interest Investment ICVC</b>			
AXA Sterling Buy and Maintain Credit Fund	<b>Gross</b>	£	£

		LUMP SUM		LUMP SUM	
		Z CLASS			
		ACC Min £100,000	INCOME Min £100,000	ACC Min £10 million	INCOME Min £10 million
<b>AXA Fixed Interest Investment ICVC</b>					
AXA Global Strategic Bond Fund	<b>Gross</b>	£	£	£	£

		LUMP SUM		REGULAR	LUMP SUM		
		Z CLASS				ZI CLASS	
		ACC Min £100 million	INCOME Min £100 million		ACC Min £100,000	INCOME Min £100,000	
<b>AXA Framlington Authorised Unit Trusts</b>							
AXA Framlington UK Select Opportunities Fund		£	£		£	£	

		LUMP SUM		LUMP SUM	
		Z CLASS			
		ACC Min £100,000	INCOME Min £100,000	ACC Min £30 million	INCOME Min £30 million
<b>AXA Framlington Global Thematics</b>					
AXA Framlington Global Thematics	<b>Gross</b>	£	£	£	£

### 12. Entity Self-Certification

Tax regulations<sup>1</sup> require AXA IM UK to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if AXA IM UK does not receive a valid self-certification from you) AXA IM UK may be obliged to share information about your account(s) with the relevant tax authorities. AXA IM UK may also, at its discretion, reject your application. If you have any questions about your organisation's classifications in the form below, please contact your tax adviser. Please see explanatory notes for key definitions. Should any information provided change in the future, please ensure you advise AXA IM UK promptly.

**IN ORDER FOR THIS FORM TO BE VALID ALL SECTIONS 1 TO 4 MUST BE COMPLETED**

#### Section 1: Tax residency information

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

1.1 Please state the country in which your organisation is resident for tax purposes:

1.2 Please provide us with your organisation's Tax Identification Number:

#### Section 2A: Organisation's classification under FATCA<sup>2</sup>

Please tick only one box with reference to the tax residency stated in box 1.1

**If your organisation is a Financial Institution<sup>5</sup>, please specify which type:**

2.1	Exempt Beneficial Owner <sup>10</sup>	<input type="checkbox"/>
2.2	UK Financial Institution <sup>9</sup> or a Partner Jurisdiction Financial Institution <sup>6</sup>	<input type="checkbox"/>
2.3	Participating Foreign Financial Institution (in a non-IGA jurisdiction <sup>7</sup> )	<input type="checkbox"/>
2.4	Deemed Compliant Foreign Financial Institution <sup>11</sup> (besides those listed above)	<input type="checkbox"/>
2.5	Financial Institution resident in the USA or in a US Territory <sup>9</sup>	<input type="checkbox"/>
2.6	Non-Participating Foreign Financial Institution <sup>8</sup> (in a non-IGA jurisdiction <sup>7</sup> )	<input type="checkbox"/>

**If your organisation is not a Financial Institution<sup>5</sup>, please specify the entity's FATCA status below:**

2.7	Active Non-Financial Foreign Entity <sup>12</sup>	<input type="checkbox"/>
2.8	Passive Non-Financial Foreign Entity <sup>13</sup> (If you tick this box, please include individual self-certification forms for each of your Controlling Persons <sup>4</sup> )	<input type="checkbox"/>

#### Section 2B: Complete this only if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following and therefore not a Specified US Person<sup>16</sup>

- A regularly traded corporation on a recognised stock exchange
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organisation under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion listed in Explanatory Note 16

### Section 3: Organisation's classification under the Common Reporting Standard (CRS)<sup>2</sup>

Please tick only one box with reference to the tax residency stated in box 1.1

3.1	Financial Institution <sup>17</sup> (this includes Non-Reporting Financial Institutions <sup>18</sup> such as a pension scheme, government entity, international organisation and other entities listed in Explanatory Note 18).	<input type="checkbox"/>
3.2	A professionally managed Investment Entity <sup>23</sup> outside of a CRS Participating Jurisdiction <sup>24</sup> (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons <sup>4</sup> )	<input type="checkbox"/>
3.3	Active Non-Financial Entity <sup>20</sup> which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation	<input type="checkbox"/>
3.4	Active Non-Financial Entity <sup>20</sup> (other than those listed in 3.3 above)	<input type="checkbox"/>
3.5	Passive Non-Financial Entity <sup>21</sup> (If you tick this box, please include individual self-certification forms for each of your Controlling Persons <sup>4</sup> )	<input type="checkbox"/>

### Section 4: Declaration for FATCA and CRS<sup>2</sup>

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 IM UK immediately in the event that information on this self-certification form changes (including any changes to Controlling Persons).

Signed by (please print name):
On behalf of (organisation name):
Position (in organisation):
Organisation address:
Country of Incorporation or Organisation:
Signature of person authorised to sign:
Date:

### 13. Explanatory notes

The following explanatory notes are based on Tax Regulations as implemented in the UK. If you have any questions about your organisation's classification, please contact your tax adviser.

#### Definitions common to FATCA and CRS

##### <sup>1</sup>Tax Regulations

The term "tax regulations" refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information<sup>2</sup>.

##### <sup>2</sup>FATCA and CRS

###### FATCA

FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued thereunder, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

###### CRS

The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

##### <sup>3</sup>Non-Profit Organisation

An entity that meets ALL of the following criteria:

- (i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- (ii) it is exempt from income tax in its country of residence;
- (iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (iv) the applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- (v) the applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

##### <sup>4</sup>Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

#### Classifications under FATCA

##### <sup>5</sup>Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA<sup>2</sup>. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

##### <sup>6</sup>Partner Jurisdiction Financial Institution

A Partner Jurisdiction Financial Institution includes (a) any Financial Institution resident in the UK, but excluding any branches of such Financial Institution that are located outside the UK and (b) any UK branch of a Financial Institution not resident in the UK. For these purposes, "Partner Jurisdiction" means any jurisdiction that has in effect an agreement with the US to facilitate the implementation of FATCA.

##### <sup>7</sup>Non-IGA jurisdiction

A non-IGA jurisdiction is one where there is no Model 1 or 2 Intergovernmental Agreement in place with the US in respect of FATCA<sup>2</sup>.

##### <sup>8</sup>Non-Participating Foreign Financial Institution (NPFPI)

The term "Non-participating Foreign Financial Institution" means a non-participating FFI, as that term is defined in relevant U.S. Treasury Regulations, but does not include a United Kingdom Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution identified as a Non-participating Financial Institution pursuant to a determination by IRS or HMRC that there is significant non-compliance with FATCA obligations.

##### <sup>9</sup>US Territory

This term means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the US Virgin Islands.

##### <sup>10</sup>Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- (i) a UK Governmental Organisation;

### 13. Explanatory notes (contd.)

(ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);

(iii) a Central Bank; or

(iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

#### <sup>11</sup>Deemed Compliant Foreign Financial Institution

The term “Deemed Compliant Foreign Financial Institution” means

(i) Those entities classified as such in Annex II of the UK IGA, which includes Non-profit Organisations<sup>3</sup> and Financial Institutions<sup>5</sup> with a Local Client Base, or

(ii) Entities which otherwise qualify as such under the FATCA Regulations.

#### <sup>12</sup>Active Non-Financial Foreign Entity (NFFE)

An Active NFFE is any Non-Financial Foreign Entity<sup>14</sup> that meets one of the following criteria:

a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity<sup>15</sup> of an Entity the stock of which is traded on an established securities market;

c) The NFFE is organised in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;

d) The NFFE is a non-U.S. government, a government of a U.S. Territory, an international organisation, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;

e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFFE<sup>13</sup>;

f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;

g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;

h) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity<sup>15</sup> provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or

(h) The Entity is a Non-Profit Organisation<sup>3</sup>;

(i) The NFFE is an “Excepted NFFE” as described in relevant U.S. Treasury Regulations.

#### <sup>13</sup>Passive Non-Financial Foreign Entity (PNFFE)

A Passive NFFE is any Non-Financial Foreign Entity<sup>14</sup> that is not an Active NFFE<sup>12</sup>.

#### <sup>14</sup>Non-Financial Foreign Entity (NFFE)

The term “NFFE” means any non-US Entity that is not treated as a Financial Institution<sup>5</sup>.

#### <sup>15</sup>Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes director indirect ownership of more than 50 per cent of the vote or value in an entity.

#### <sup>16</sup>Specified US Person

The term “Specified U.S. Person” means a U.S. Person, other than:

(i) a corporation the stock of which is regularly traded on one or more established securities markets;

(ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);

(iii) the United States or any wholly owned agency or instrumentality thereof;

(iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;

(v) any organisation exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

(vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;

(vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

(ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;

(x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;

(xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or

(xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code.

### Classifications under CRS

#### <sup>17</sup>Financial Institution

The term “Financial Institution” means a Custodial Institution, a Depository Institution, an Investment Entity<sup>23</sup>, or a Specified Insurance Company.

### 13. Explanatory notes (contd.)

#### <sup>18</sup>Non-Reporting Financial Institution

The term “Non-Reporting Financial Institution” means any Financial Institution which is:

- (a) a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- (b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- (c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in (a) or (b) above, and is included in the list of Non-Reporting Financial Institutions provided to the European Commission by the UK;
- (d) an Exempt Collective Investment Vehicle; or
- (e) a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

#### <sup>19</sup>Related Entity

An Entity is a “Related Entity” of another Entity if (i) either Entity controls the other Entity; (ii) the two Entities are under common control; or (iii) the two Entities are Investment Entities, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

#### <sup>20</sup>Active Non-Financial Entity (NFE)

The term “Active NFE” means any NFE<sup>22</sup> that meets any of the following criteria:

- (a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity<sup>19</sup> of an Entity the stock of which is regularly traded on an established securities market;
- (c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- (d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFE<sup>21</sup>;
- (e) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- (f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- (g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution, or
- (h) the Entity is a non-profit organisation<sup>3</sup>.

#### <sup>21</sup>Passive Non-Financial Entity (PNFE)

A Passive NFE is any Non-Financial Entity<sup>22</sup> that is not an Active NFE, or an Investment Entity<sup>23</sup> that is not a Participating Jurisdiction<sup>24</sup> Financial Institution.

#### <sup>22</sup>Non-Financial Entity (NFE)

The term “NFE” means any Entity that is not a Financial Institution<sup>17</sup>.

#### <sup>23</sup>Investment Entity

The term “Investment Entity” means any Entity:

- (a) which primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
    - (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
    - (ii) individual and collective portfolio management; or
    - (iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
  - b) the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in subparagraph A(6)(a) of the EU Directive on Administrative Co-operation 2014/107/EU
- An Entity is treated as primarily conducting as a business one or more of the activities described in subparagraph A(6)(a), or an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of subparagraph A(6)(b), if the Entity's gross income attributable to the relevant activities equals or exceeds 50% of the Entity's gross income during the shorter of:
- (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or
  - (ii) the period during which the Entity has been in existence.

The term “Investment Entity” does not include an Entity that is an Active NFE because that Entity meets any of the criteria in subparagraphs D(8)(d) through (g) of the EU Directive on Administrative Co-operation 2014/107/EU.

This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of “financial institution” in the Financial Action Task Force Recommendations.

#### <sup>24</sup>Participating Jurisdiction

The term “Participating Jurisdiction” means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.



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