

# Stocks and Shares ISA Fund Application Form

Tax Year 2022/2023

APRIL 2022  
ISA

You should use this form if you wish to invest in an AXA stocks and shares Individual Savings Account (ISA) for the tax year 2022/23 for regular and lump sum investments. You can only apply for a stocks and shares ISA if you are aged 18 or over and you are a UK resident for tax purposes. The maximum investment for a stocks and shares ISA is £20,000 per tax year. 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.

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

Title	Surname	M <input type="checkbox"/>	F <input type="checkbox"/>
Forenames			
Address <sup>1</sup>			
Postcode <sup>1</sup>			
Daytime telephone no.		Evening telephone no.	
Email			
Occupation (industry)		Occupation (role)	
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Nationality	
Do you have a National Insurance number?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, you must quote it <sup>2</sup>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Do you already have an OEIC, Unit Trust or ISA with us?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If so, please quote your account number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

<b>Attorney details (if applicable)</b>			
Title	Date of Birth		
Surname	Forenames (in full)		
Address			
Postcode		Country	
Phone Number	Email Address		

<b>Financial Adviser Details</b>	
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"/>
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"/>
Please tick if cancellation rights do not apply <input type="checkbox"/>	
Please tick if advice has been given. We will assume advice has not been given if left unticked <input type="checkbox"/>	
Financial Adviser stamp:	



Investment  
Managers

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## 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 and the annual ISA limits is contained within each Fund's KIID and in the SID.

	LUMP SUM		REGULAR		LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly		ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts</b>				<b>AXA Rosenberg Global Investment Company ICVC</b>			
AXA Framlington American Growth Fund	£	£	£	AXA Rosenberg American Fund	£		£
AXA Framlington Biotech Fund	£	£	£	AXA Rosenberg Asia Pacific ex Japan Fund	£		£
AXA Framlington Emerging Markets Fund	£	£	£	AXA Rosenberg Global Fund	£		£
AXA ACT Framlington Clean Economy Fund	£	£	£	AXA Rosenberg Japan Fund	£		£
AXA Framlington FinTech Fund	£	£	£	<b>AXA Distribution Investment ICVC</b>			
AXA Framlington Global Thematics Fund	£	£	£	AXA Defensive Distribution Fund	£	£	£
AXA Framlington Global Technology Fund	£	£	£	AXA Distribution Fund	£	£	£
AXA Framlington Health Fund	£	£	£	AXA Ethical Distribution Fund	£	£	£
AXA Framlington Japan Fund	£	£	£	AXA Global Sustainable Distribution Fund	£	£	£
AXA Framlington Managed Balanced Fund	£	£	£	<b>AXA Fixed Interest Investment ICVC</b>			
AXA Framlington Managed Income Fund	£	£	£	AXA Global High Income Fund	£	£	£
AXA Framlington Monthly Income Fund	£	£	£	AXA Sterling Corporate Bond Fund	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£	AXA Sterling Index Linked Bond Fund	£		£
AXA Framlington UK Sustainable Equity	£	£	£	AXA Sterling Strategic Bond Fund	£	£	£
AXA Framlington UK Mid Cap Fund	£	£	£	AXA Sterling Credit Short Duration Bond Fund	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£				
AXA Framlington UK Smaller Companies 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.

To: The Manager Bank

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

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

## 5. 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://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.

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## 6. Declaration and authority

I declare that:

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

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

Signature

Date

Attorney's signature:  
(if applicable)

Date

I apply to subscribe for an AXA ISA for the tax year 2022/2023:

- I understand that when making monthly investments I am subscribing to an ISA for the tax year 2022/2023 and each subsequent tax year until further notice.

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

## 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

**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)

Date

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

\*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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## 7. Important information/Notes

- 1 Please state your permanent residential address. You must also include your postcode.
- 2 You should be able to find your NI number on a payslip, P45 or P60 form, a letter from the HM Revenue & Customs, a letter from the DWP, or a pension order book. Otherwise your employer or tax office may be able to help you. Failure to provide your National Insurance number within 30 days will result in your plan being made VOID with any tax benefits being returned to HM Revenue & Customs.
- 3 If you are making a **LUMP SUM INVESTMENT** you must send us a cheque. Please make your cheque payable to **AXA Investment Managers UK Limited**. The cheque should clearly show that it is drawn on the account in the name of the person making this application. If you 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 3. 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.

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

