



TBFS

For Corporate Investor use only

T. Bailey Fund Services Limited Corporate Account Opening Form

This application form is to be used by corporates (institutions) who wish to open an account for any funds for which T. Bailey Fund Services Limited ('TBFS') acts as the appointed Authorised Corporate Director/Authorised Fund Manager. This form is not for private investor use. Should you wish to make top up contributions to your existing investment please use the relevant Unit Trust or OEIC Investment Top Up Form for the fund range in which you are investing. A new full application form will only be required if you wish to open a new account with different registration details to your existing account, or if you wish to set up a new Direct Debit for a regular saver investment.

Before completing this application form, you must read the relevant Key Investor Information Document which contains important information about your investment. You should also read the Supplementary Information Document.

All relevant documentation, including the full prospectus, can be obtained from T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ, at: www.tbaileyfs.co.uk or by calling the Client Services helpline on 0115 988 8213. (Calls are recorded).

Please complete the application form in blue or black ink and in BLOCK CAPITAL letters. Failure to correctly complete relevant sections of the application form may delay or invalidate your application.

The completed application form should be returned to: Dealing & Administration, T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ.

TBFS is authorised and regulated by the Financial Conduct Authority (FCA).

Section 1: Registration Details — Please complete the details for all applicants in full.

Company Name

Registered Address

Correspondence Address (if different)

Postcode

Postcode

FCA Reference (or FCA Reference of parent company if applicable)

If your firm is not FCA registered please tick here

Please be aware that it is necessary for us to complete additional background checks in order to satisfy Anti-Money Laundering regulations. Please see the Registration Checklist (Section 5) for details.

Company Registration No. (if applicable)

Note that we can accept applications from up to 4 joint holders for an investment. Details of the first applicant should be completed fully on this form. If more holders are to be registered on the account, please provide the details of the additional applicants on a separate sheet of paper, or by using additional copies of this form. Contract notes are sent to all investors but all other client regulatory correspondence is only sent to the first named investor.

Account Designation
If you wish to designate the account, please insert designation here. Please note designations cannot be made in the name of any individual and do not represent legal ownership of the investment. This is for reference only.

Distribution Bank Account Details
You must nominate a Sterling denominated bank account in your entity's name to receive income payments (if applicable). If you do not supply bank details we reserve the right to reject your application.

Name(s) of Account

Sort Code - -

Account No.

IBAN (only required where Sterling bank account is not UK based)

Swift (only required where Sterling bank account is not UK based)

Income payments will usually be credited to your nominated bank account on or around the last business day of the relevant month. Please refer to the Supplementary Information Document for income allocation dates. Please note that banks and building societies may not accept direct credits to some types of accounts.

Coverall Renunciation — If you would like to have a coverall renunciation in place for your account please tick here and complete the form at the back of this application.

Contact Details

Dealing Contacts

Telephone

Email

Contract Note Contact

Email

Reconciliation Contact

Email

Settlements Contacts

Telephone

Email

Preferred Dealing Methods

Please confirm how you wish to place future deals in this account:

Lump Sum Investments Please complete section 4 for an initial lump sum investment. For all subsequent top ups please then use the relevant Unit Trust or OEIC Investment - Lump Sum Top Up Form for the fund range in which you are investing (*available online at www.tbaileyfs.co.uk*)

Monthly Regular Saver Please complete section 4 and complete the Direct Debit mandate on the last page of this application pack

STP Dealing TBFS offers connections with EMX & Calastone. Please indicate your preference below:

EMX Please provide your appointed agency's EMX identifier

Calastone Please provide your appointed agency's Calastone EMS identifier

IMPORTANT INVESTOR INFORMATION

Data Protection Policy

To provide our services to you, TBFS is required to collect personal information (i.e. information such as your name, date of birth, address, bank details or other such data which may be used to identify you). When we do so we are subject to data protection laws applicable in the United Kingdom and we are responsible as 'controller' of that personal information for the purposes of those laws.

We take your privacy very seriously and will only share your personal information with trusted third parties that are themselves subject to appropriate measures to protect your personal information. You are encouraged to read carefully our Privacy Policy which contains details and important information on who we are and how and why we collect, store, use and share your personal information. This policy also explains your rights in relation to your Personal Information and how to contact us or supervisory authorities in the event you have a complaint.

Our Privacy Policy can be obtained from www.tbaileyfs.co.uk/privacy-policy or, to request a copy, you can write to us at T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ or call us on the Client Services helpline: 0115 988 8213. (Calls are recorded).

Identification Verification

Applications will be subject to the United Kingdom's verification of identity requirements which are contained in the Money Laundering Regulations (and subsequent revisions), the Serious Organised Crime and Police Act 2005, the Proceeds of Crime Act 2002, the Terrorism Act 2000, the HM Treasury Sanctions Notices and the FCA Handbook. To comply with these regulations, we may need to request additional evidence of identity from you. We may use a credit reference agency who will record that an enquiry has been made. **We reserve the right to refrain from investing your money and to withhold any repayment of capital and / or income until adequate evidence of identity under these regulations has been provided.**

Section 2: International Tax Compliance Regulations

We are required to collect information from Entity and Individual investors to determine your classification under International Tax Regulations. Please complete the relevant sections in full and provide any additional information that is requested. Further guidance notes and definitions are available on our website at www.tbaileyfs.co.uk. Please note that in certain circumstances, including if we do not receive correctly completed self-certification details, we may be obliged to share details of your account with HMRC. In some cases, we may refuse your investment.

If your tax residency changes in the future, please ensure that you advise us of this change promptly. Please note that TBFS is not authorised to provide tax advice. If you have any questions about your tax residency or classification you should contact a qualified tax adviser.
If you certify that you are resident for tax purposes in a country other than the United Kingdom you must also state your relevant tax reference number.

Entity Classification

Please state the country of your Entity's incorporation/organisation

Please state the country in which your Entity is resident for tax purposes

Is your Entity a Specified Person in this country? Yes No Is your Entity (please tick applicable box)

NB: If your Entity is resident for tax purposes in more than one jurisdiction you must complete a copy of this section for each jurisdiction.

A Financial Institution (FI)? (complete section 2i)

A Non-Financial Entity (NFE)? (complete section 2ii)

Section 2i: for Financial Institutions (FI)

If your Entity has registered as a Financial Institution or as a Sponsored Investment Entity, please provide its Global Intermediary Identification Number (GIIN)

GIIN - - -

If your Entity is a Sponsored Investment Entity, please also provide the SPONSORING ENTITY's name and GIIN

Name:

GIIN - - -

Is your Entity:

- A. a United Kingdom Financial Institution or a Partner Jurisdiction Financial Institution?
- B. a Registered Deemed Compliant Financial Institution?
- C. a Certified Deemed Compliant Financial Institution?
- D. a Participating Financial Institution?
- E. a Non-Participating Financial Institution?
- F. an exempt Beneficial Owner?
- G. other? (please tell us your classification if not listed above)

Section 2ii: for Non-Financial Entities (NFE)

Is your Entity (please tick applicable box):

(a) an Active NFE? (please complete section 3)

(b) a Passive NFE? Passive NFEs are required to identify each of its Controlling Persons. Please tick one of the following statements of declaration:

I certify that the Entity identified on this self-certification form has no Controlling Persons

**I certify that the Entity identified on this self-certification form has provided all the required details of its controlling Persons/ Substantive Owners.

**If you have ticked this box you are required to complete an additional form to complement this application. Self-certification disclosure forms for each of your Entity's Controlling Persons (generally persons whose percentage of ownership is 25% or more of share capital/voting rights) will be required. This form is available on our website at www.tbaileyfs.co.uk. Your application cannot be approved without receipt of this form (if it is applicable). If any Controlling Person of the Passive NFE is a US citizen or is resident in the US for tax purposes, the Entity is not eligible to open an account for investment. Please ensure you disclose the relevant details of all Controlling Persons.

Do you have an appointed agent on this account? (tick one)

Yes (go to section 3)

No (go to section 4)

Section 3: Agent Details — to be completed by agency (if applicable)

Please see TBFS's Intermediary Terms of Business at www.tbaileyfs.co.uk. Agents who conduct business with TBFS are deemed to have accepted these terms.

Business Name

FCA Reference No.

TBFS Agent Number (if applicable)

Agency Stamp (including address & postcode)

Consultant's Name

Email address

Telephone number

Bank account details for adviser charge payments:

If bank details are not provided this could delay payment of any adviser charges

Name of Bank or Building Society

Sort Code

-

-

Name(s) of Account

Account No.

Building Society Roll No. (if applicable)

IBAN (only required where Sterling bank account is not UK based)

Swift (only required where Sterling bank account is not UK based)

Where an agent is listed TBFS's default position is that advice has been given in regards to this application unless we are instructed otherwise.

Tick here if no advice has been given

Please be advised we must be informed at the point of each subsequent investment whether or not advice has been given.

Authorised Signatory of Agency Firm:

X

Additional Dealing Authority

If, in addition to your appointed agent (as listed above in section 3), there is an additional firm with dealing authority in respect of this account please complete the following details. Please see TBFS's Intermediary Terms of Business at www.tbaileyfs.co.uk. Agents who conduct business with TBFS are deemed to have accepted these terms.

Business Name

FCA Reference No.

TBFS Agency No. (if applicable)

Business Stamp (including address & postcode)

Contact Details

Email address

Telephone number

Authorised Signatory of Firm:

X

Section 4: Investment Details — only to be completed if making a lump sum investment at the point of opening your account, or if starting a regular saver investment. If using this form for account opening purposes only please continue to section 5.

Fund Class Please confirm the fund and class that you wish to invest in by completing the relevant currency section of the table below	Fund Code (Sedol/ISIN)	Lump Sum Investment Specify the cash value in this column	Monthly Regular Saver* Specify the monthly cash value in this column and complete the Direct Debit mandate on the last page of this application pack
<input type="text"/> (£ class)	<input type="text"/>	<input type="text"/> £	<input type="text"/> £
<input type="text"/> (\$ class)	<input type="text"/>	<input type="text"/> \$	<input type="text"/> \$
<input type="text"/> (€ class)	<input type="text"/>	<input type="text"/> €	<input type="text"/> €

*Please be aware that not all funds where TBFS acts as the appointed ACD/AFM offer this regular investment facility. Please contact TBFS for confirmation on 0115 988 8213. For Direct Debit collection dates and minimums for regular saver and lump sum investment amounts please refer to the relevant fund literature for the fund in which you wish to invest. These can be found on our website www.tbaileyfs.co.uk

Section 4i: Payment method

Please tick to confirm your payment method you will be using for this investment:

- Electronic Payment**
Please contact TBFS for the settlement bank details on 0115 988 8213 or by email at clientservices@tbailey.co.uk
- Cheque Payment**
Please include a correctly completed cheque with your application form, payable to T. Bailey Fund Services Limited. Failure to do so may delay or invalidate your investment
- Direct Debit (for regular savings only)**
Please complete the mandate on the last page of this application form.

Section 4ii: Agent Charges

Additional notes to Agents

From 31 December 2012, ongoing commission cannot be paid to a UK Agents from a product where advice has been given to a UK retail client to invest in a product. For deals where advice has been given to a UK retail client, investment should therefore be made into classes which do not contain an element of commission built into the annual management charge (AMC). See the Supplementary Information Document for this fund range for a complete class list. Section 3 of this application form declares if no advice has been given. This application may be rejected if any sections are incomplete or inconsistent.

Special terms relating to initial charges must be agreed with TBFS prior to the submission of this form. **Please ensure that you have read, understood and signed the additional declaration(s) in Section 6 of this application form which refers to adviser charges.**

Initial Adviser Charges

By completing this section, you are instructing us to pay an amount deducted from your investment as outlined in Section 4 to the agent listed in Section 3 as an adviser charge. As a result of this, the net amount invested in your chosen fund will be reduced by the amount of the adviser charge. For example if you have invested £10,000 and you have elected to pay your adviser a 2% adviser charge from your initial investment, we will pay your adviser £200 and £9,800 will be invested into the fund.

Initial adviser charge payable to appointed agency: %

Ongoing Adviser Charges - Please only complete this section if ongoing adviser charges are to be taken from the investment. If this facility is not required, please move directly to section 5. **Please be aware that not all funds where TBFS are the appointed ACD/AFM offer this ongoing adviser charge facility. Please contact TBFS for confirmation on 0115 988 8213.**

By completing this section, you are instructing us to pay an amount from your investment to the agent listed in Section 3 as an ongoing adviser charge. As a result of this, we will process a deal to sell the appropriate number of your shares/units at the end of each calendar quarter following your investment to raise an amount to finance the adviser charge.

Please note that facilitation of ongoing adviser charges is based on an investor's holding at the relevant quarter end and is calculated at class level. If you have a holding in a class at the quarter end, we will pay an ongoing adviser charge based on an average value of your investment in that class in the previous quarter. This will be facilitated by quarterly redemptions of shares/units, with the proceeds being paid directly to your agent, provided there are sufficient shares/units in your account at the end of the period to redeem.

For example, if your holding was worth £100,000 on average in the period and you had opted for facilitation of adviser charges of 0.5% per annum via quarterly redemptions we would redeem units to the value of £124.66 in a quarter with 91 days ($£100,000 \times 0.50\% \times 91/365$).

Ongoing adviser charge % per annum: %

Section 5: Registration Checklist

For registration purposes, all corporate investors are required to provide the following. Please tick where applicable and enclose documents with this application:

- List of Authorised Signatories of registered holder
- List of Authorised Signatories of appointed dealing entity (if applicable — see section 3)
- List of Authorised Signatories of appointed agent (if applicable — see section 3)
- Coverall Renunciation (if applicable — see separate form included in this application pack)
- Please tick if you have included additional information and list here

For corporate investors who are not FCA authorised please also provide the following and tick where applicable (please enclose documents with this application):

- Memorandum and Articles of Association of registered holder
- Certificate on Incorporation of registered holder
- Copy of last Audited Accounts of registered holder
- Copy of Board Minute of registered holder confirming Investment
- Additional identity verification documentation for all Company Directors and beneficial holders of registered holding with greater than 25% ownership. Please provide full names, residential addresses and dates of birth for each individual.

Please be aware that failure to complete this section and provide all necessary documentation may delay your application and the account opening process.

This section has been left intentionally blank.
Please move to the next page to continue with your application.

FOR OFFICE USE ONLY

Full Declaration

Regular Saver

Registration Verification

Further Action Required

UT/O(CI)vr2.0

Section 6: Declarations

Please read this section carefully before signing and dating the declaration. This is our standard declaration upon which we intend to rely. For your own benefit and protection you should read these terms along with the relevant Key Investor Information Document and Supplementary Information Document carefully before signing. More detailed information can also be found in the relevant Fund Prospectus. Copies of the relevant documents can be obtained from www.tbaileyfs.co.uk or by contacting TBFS. If you do not understand any point please ask your agent or TBFS for further information. Please note that TBFS is not authorised to provide financial advice to retail clients. **Failure to sign will mean your application form cannot be processed.**

I/We* declare that:

- The information contained in this application form, and any additional pages completed by me/us* is correct to the best of my/our* knowledge and belief and I/we* undertake to notify TBFS without delay of any changes to these particulars.
- I/We* have also included all relevant supporting documentation with this application (see registration checklist).
- I/We* confirm that I/we* have read and understood in full the information contained in this application form, the relevant Key Investor Information Document and the Supplementary Information Document (and have kept a copy of these for my/our* records) and that these documents constitute the agreement between me/us* and TBFS.
- I/we* agree to be bound by the terms and conditions contained therein.
- I/We* request TBFS to act in accordance with my/our* instructions. I/We* understand that this application is subject to acceptance by TBFS and that TBFS accepts no responsibility for any loss incurred as a result of any delay in the submission of the application form.
- I/We* hereby confirm that I/we have completed the relevant self-certification details in Section 2 within this application which relate to International Tax Compliance Regulations.
- I/We* agree to indemnify TBFS and its delegates and/or agents including the administrator for any loss arising to TBFS and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction on the happening of a Chargeable Event (as defined in the Prospectus). This indemnity applies notwithstanding anything to the contrary in this application form or the current Prospectus, unless otherwise agreed by TBFS in writing.
- I/We* agree to provide any information as may be requested by TBFS to enable the relevant fund to satisfy any legal, regulatory or tax obligations.

Additional declaration if adviser charges are to be taken from the investment

- I/We* declare that I/we* have agreed with the agent listed in Section 3 that I/we* will pay the agent the initial adviser charge stated in section 4ii and I/we* instruct you to pay such a charge to the agent listed as an initial adviser charge for services provided. I/we* acknowledge that this will reduce the amount of the initial investment.
- I declare that I have agreed with the agent listed in Section 3 that I will pay the agent the ongoing adviser charge as stated in section 4iii and I instruct you to sell the appropriate number of shares/units from this account at the end of each calendar quarter in order to pay such ongoing adviser charges. I acknowledge that this will reduce the value of my investment. I confirm that the proceeds of such sales will be paid directly to the agent listed in Section 3.

* delete as applicable

***Signatures to be completed as per your Entity's signature list
(which should be provided with this application– see Section 5)***

Authorised Signature	<input type="text" value="X"/>	Date	<input type="text" value="/"/>	<input type="text" value="/"/>
Authorised Signature (if applicable)	<input type="text" value="X"/>	Date	<input type="text" value="/"/>	<input type="text" value="/"/>
Authorised Signature (if applicable)	<input type="text" value="X"/>	Date	<input type="text" value="/"/>	<input type="text" value="/"/>
Authorised Signature (if applicable)	<input type="text" value="X"/>	Date	<input type="text" value="/"/>	<input type="text" value="/"/>

This section has been left intentionally blank.

Please move to the next page to continue with your application.



TBFS

Coverall Renunciation

To: **T. Bailey Fund Services Limited ("TBFS")**

Registered Holder:

Agent (if applicable):

Account Number (to be completed by TBFS after account opening):

Designations (specify designation here, or alternatively leave blank and by default we will apply this instruction to all designations on the account):

We hereby authorise TBFS as Authorised Fund Manager (AFM)/Authorised Corporate Director (ACD) to accept all instructions given by **any firm who we have appointed with dealing authority** from time to time, and containing such information as TBFS shall require, for the redemption of units or shares that are registered in the above name and designated account(s), in any authorised unit trust/OEIC of which they are the AFM\ACD on the proviso that:

- Confirmation of deals will be forwarded by TBFS to the registered address(es) held; and
- This overall renunciation has been signed by two authorised signatories of the Registered Holder in accordance with the Authorised Signatory List attached.

Further, unless TBFS is advised prior to close of business on the day prior to the due settlement date of the relevant instruction that confirmation of the transaction has not been received or is otherwise incorrect, we authorise TBFS to remit the proceeds of any such redemption on the due settlement date following receipt of the instruction, as follows:

By electronic transfer to:

Name of Bank or Building Society Sort Code - -

Name(s) of Account Account No.

Building Society Roll No. (if applicable)

IBAN (only required where Sterling bank account is not UK based)

Swift (only required where Sterling bank account is not UK based)

It is the intention of the parties that this document take effect as an instrument of transfer to TBFS of any units or shares that are so redeemed and in respect of which the payment is duly made. Accordingly, in consideration of such payment, we hereby renounce title to any such units or shares.

We agree to provide individual forms of renunciation in relation to specific transactions as TBFS may from time to time require.

For and on behalf of: **(Registered Holder)** (the "Registered Holder")

Signatures to be completed as per your Entity's signature list

Authorised Signature

Date / /

Authorised Signature

Date / /

Authorised Signature (if applicable)

Date / /

Authorised Signature (if applicable)

Date / /

This section has been left intentionally blank.

Please move to the next page to continue with your application.



T. Bailey Fund Services Limited

Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

T. Bailey Fund Services Ltd 64-66 St. James's Street Nottingham NG1 6FJ
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Name(s) of account holder(s)

Service user number

6	8	3	0	8	7
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Bank/building society account number

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Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Branch sort code

--	--	--	--	--	--

Instruction to your bank or building society

Please pay T. Bailey Fund Services Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with T. Bailey Fund Services Limited and, if so, details will be passed electronically to my bank/building society.

Name and full postal address of your bank or building society

To: The Manager	Bank/building society
Address	
Postcode	

Signature(s)
Date

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

DDI2

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 T. Bailey Fund Services Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request T. Bailey Fund Services 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 T. Bailey Fund Services 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 T. Bailey Fund Services 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.