Sanford DeLand
ASSET MANAGEMENT
Business Perspective Investors

Reset form

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TM OEIC Funds Application Form
For Entities only

Account opening in advance of dealing
Once your completed Account Application Form has been processed and your account opened a new account confirmation will be sent to you. This will confirm that the account has been opened and provide you with your registered account number and account name. The first deal can only be submitted, using our Subscription Form, once the account has been opened and you have received your account confirmation. Any deals submitted before the account has been opened will not be placed.

Information required
Before we can accept you as an investor, you must provide us with certain information, such a proof of identity and details on source of funds and, in some cases, source of wealth and tax residency. This is to ensure that we meet our regulatory obligations, particularly around anti-money laundering and reporting to HM Revenue & Customs ("HMRC"). We will use electronic searches wherever possible to obtain this but may need to contact you if we are unable to gather sufficient information from those sources.

We require a copy of your bank statement dated within the three months prior to your application for the Administrator to be able to set up payment instructions on your account.

We are required by Anti-Money Laundering legislation to obtain details of any beneficial owners in relation to an investment.

Tax regulations require us to collect information about your tax residency. In some circumstances, including where we do not receive the required information from you, we will be obliged to share information about your account with HMRC, who may share it with other jurisdictions – see HMRC's Quick Guide: Automatic Exchange of Information – information for account holders at www.gov.uk.

Please read the following before completing the Account Application Form:

- Thesis Unit Trust Management Limited ("Tutman") is the authorised fund manager ("AFM") of the Fund(s) listed below and is authorised and regulated by the Financial Conduct Authority, under reference 186882.
- Please complete and sign this Account Application Form in black/blue ink using BLOCK CAPITALS and return it to your intermediary, if you have one, or to the office of the Administrator as follows:
  - **Post**: Thesis Unit Trust Management Limited - Sanford DeLand Asset Management Ltd, PO BOX 12248, Chelmsford, Essex CM99 2EG
  - **Fax:** 0330 123 3755
  - **Intermediaries - online portal:** distributorportal.co.uk
- Please sign the declaration. We can only accept forms which are clear to read. We accept original or digital signatures.
- Please ensure you have provided the required information for Anti-Money Laundering verification.
- Please ensure you have attached originals or certified copies of the organisation's official documents where required.
- Where "I" is used in this Account Application Form, it refers to each of the signatories, and the Declaration is made by each signatory on behalf of all signatories.
- Please read the Key Investor Information Document for the relevant share class of the Fund(s) you wish to invest in or transfer into. Copies are available on our website at www.tutman.co.uk.
- Please ensure you have read our Terms & Conditions.
- If you have appointed an intermediary to act on your behalf in relation to your investment in a Fund, you should sign the authority in Section 5 relating to 'Intermediaries'. Your intermediary needs to complete the declaration in Section 5.
- Please note the Account Application Form will be reviewed by the Administrator without undue delay.

Restrictions on investment by non-UK Persons

Funds are not open for investment by any non-UK persons except in exceptional circumstances and then only with Tutman's prior consent. The granting of prior consent by Tutman to an investment does not confer on the investor a right to acquire shares/units in respect of any future or subsequent dealing instruction.

Please Note: This Application, when accepted, will constitute a binding contract and be evidenced by the issue of a Contract Note. No other acknowledgement will be issued at the time of application and only in the event of a query will there be further communication.

If you would like to contact someone about your application or require any additional support, you may, in the first instance, contact the Administrator by telephone on 0370 707 0073. If you have an urgent enquiry, please call the Administrator.

Alternatively, you can send an e-mail to us at info@tutman.co.uk or call 01243 531234 or write to us at Thesis Unit Trust Management Limited, Exchange Building, St John's Street, Chichester, West Sussex PO19 1UP.

Data Protection Legislation
By completing this form and any subsequent forms and in any communication, including telephone calls, we collect information about you which constitutes personal data under Data Protection Legislation. You confirm that you have read the Privacy Notice and consent to the Administrator processing any sensitive personal data You may provide in relation to your application or while you hold your Investment on Tutman's behalf. The information may be used for administration purposes. For the purpose of the

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Data Protection Legislation (and any successor legislation), you agree that Tutman and its associates, their successors or assigns and other persons acting on our or their behalf or otherwise providing us or them with professional or other services in and outside the UK or EEA may process your data for purposes connected with your application and your Investment and our ongoing service in accordance with Data Protection Legislation and as set out in the Privacy Notice, attached as an appendix to our Terms of Business and available at www.tutman.co.uk/privacy-policy.

If you provide information for or about another person in connection with this application or your investment, you will need to tell them how to find the Privacy Notice – Investors and ensure they agree to us using their information for the stated purposes.
You are responsible for providing us with accurate and up-to-date information. Please inform us promptly when any information provided in relation to your account changes.

If the information requested in this Application Form is not provided, the account opening may be delayed or rejected.

Section 1 - Type of applicant

Understanding the legal form of your organisation will assist us in ensuring that appropriate information to open your account is provided at the earliest opportunity, helping prevent delays in the completion of your application. We may request further information from you if required to comply with our Anti-Money Laundering obligations.

Please tick the appropriate applicant type below and then complete the form relevant to your applicant type on the following pages.

- ☐ UK listed, UK/EU/EEA Regulated or nominee company – *please complete section 2A*
- ☐ Trust – *please complete section 2B*
- ☐ Pension – *please complete section 2C*
- ☐ Charity– *please complete section 2D*
- ☐ Other (please see Appendix 1) – *please complete section 2E*

Section 2A – UK Listed, UK/EU/EEA Regulated and Nominee Company applicants

Type of entity: (please select from the list in Appendix 1) *Maximum 15 Characters*

Full name of entity:

Registered address:

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Correspondence address (if different from above)**:**

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Company registration number:

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Country of incorporation:

Contact:

Contact Name:	Email:
Website:	Telephone:

Name of all directors (private companies only):

Existing account number (if applicable):

Section 2B – Trust applicants

Primary Trustee Name: **Second Trustee Name:**

Third Trustee Name: **Fourth Trustee Name:**

Trust Name/Designation:

Registered address:

Address Line 1:

Address Line 2:

Address Line 3: Postcode:

Correspondence address (if different from above)**:**

Address Line 1:

Address Line 2:

Address Line 3: Postcode:

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Contact:

Contact Name:	Email:
Website:	Telephone:

Type of trust (will trust, discretionary trust etc.)**:**

The nature and purpose of the trust:

Country of establishment:

Existing account number (if applicable):

TRS Trust Register
Is the trust registered on the Trust Registration Service ("TRS") Register*? Yes ◯ No ◯

If Yes, please provide proof of registration**.

Number of registration:

If No, please provide the rationale why the trust is excluded from the TRS:

Some trusts need to be registered before we can accept new business. Details of trusts that need to be registered can be found here: https://www.gov.uk/hmrc-internal-manuals/trust-registration-service-manual/trsm20000.
Please provide a PDF "proof of registration" document which you can download from the TRS showing the trust's registration and all the beneficial owners (beneficiaries, trustees and settlors) in the service by selecting "Get evidence of the trust's registration".

Section 2C – Pension Scheme applicants

Name of Pension Scheme:

Please select the type of pension you are investing for:

- ☐ Self-Invested Personal Pension (SIPP)
- ☐ Small Self-Administered Scheme (SSAS)
- ☐ Occupational Pension Scheme
- ☐ Personal Pension Scheme
- ☐ Other (please describe below)

Other:

Please confirm the HMRC and TPR registration details of the scheme:

By competing this Account Application Form, you authorise us to check with HMRC and TPR where necessary.

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Registered address:

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Correspondence address (if different from above)**:**

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Contact:

Contact Name: | Email:

Website: | Telephone:

Existing account number (if applicable):

Section 2D – Charity applicants (including UK Churches and Places of Worship)

Full name of organisation:

Registered address:

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Correspondence address (if different from above)**:**

Address Line 1:

Address Line 2:

Address Line 3: | Postcode:

Contact:

Contact Name: | Email:

Website: | Telephone:

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Organisation registration number:

Description of aims and activities:

Countries of operation:

Existing account number (if applicable):

Section 2E – Other entity applicants

Type of entity (please select from Appendix 1):

Full name of corporate entity:

Registered address:

Address Line 1:

Address Line 2:

Address Line 3:

Postcode:

Correspondence address (if different from above)**:**

Address Line 1:

Address Line 2:

Address Line 3:

Postcode:

Contact:

Contact Name:

Email:

Website:

Telephone:

Organisation registration number:

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Country of incorporation/registration:

Name of all Directors/Trustees (if applicable):

Existing account number (if applicable):

Section 3 - Anti-money laundering verification/Data protection

Note: Under Anti-Money Laundering legislation and the Financial Conduct Authority's Financial Crime Guide, (which are updated from time to time), we must check your identity and the identity of all beneficial owners, directors and senior management of the investing entity and the source of the money invested. The checks may include an electronic search of information held about you on the electoral roll and using credit reference agencies, who may keep a record of this search. If you complete and submit an Account Application Form, you are giving us and the Administrator permission, on our behalf, to ask for this information in line with the Data Protection Legislation (as defined in our Terms of Business). In certain circumstances, we may need to request from you other forms of identity (such as a certified copy of your passport) and we will contact you if this is the case. We will use any information we obtain in this way only for verification of your identity and not for any other purpose.

If your organisation already holds an account with us, your organisation details have not changed and you have not been notified that anti-money laundering verification checks are outstanding, then we may be able to use existing records for verification. Please contact the Administrator if you would like to check whether checks for your organisation are outstanding.

For a body corporate (other than listed companies or companies that are majority-owned and consolidated subsidiaries of listed companies), certified copies of the following identity documentation should be provided:- articles of association, certificate of incorporation, list of directors and authorised signatory list.

For a trust, certified copies of the following identity documentation should be provided:- Trust deed and full details (full name and address) of the settlor and all beneficiaries of the trust and authorised signatory list.

For a pension plan, certified copies of the following identity documentation should be provided:- Trust deed and any rules (and any amended deed): showing the name of the scheme and trustees (if applicable) from the most recent definitive deed and a copy of the HMRC letter confirming the registration of the pension scheme and authorised signatory list.

For a charity (including churches), the charity registration certificate from the Charity Commission.

Ultimate Beneficial Owner

If the beneficial owner(s) of the investment is different to the named applicant, please provide the full name(s) of individual(s) or organisations that ultimately own(s) or control(s) the investment, owning directly or indirectly more than 25% of the value of the shares/units to be subscribed for, once the account is opened. Where there is indirect ownership, please describe on a dated and signed chart all the intermediate levels of ownership with names and percentages.

☐ The organisation is investing its own funds

☐ The organisation is investing on behalf of another/other individual(s) or organisation(s) /entity/ies, eg acting as nominee distributor or custodian

Ultimate Beneficial Owner's Full Name: (***individual***)

Permanent Address:

Address Line 1:

Address Line 2:

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	Address Line 3:	Postcode:
Date of birth:		
Place of birth: (Town/City)		
Nationality:		

Please enclose a certified true copy of the ID of the individual stated above.

If you invest on behalf of more than one ultimate beneficiary, please indicate his/her/their full details on a separate sheet and send the related certified ID(s) along with this Account Application Form.

Ultimate beneficial owner's name: (***regulated or listed entity***)	
Registration Number:	
Regulatory body:	
Firm Reference Number:	
Ultimate beneficial owner's name: (***non-regulated or listed entity***)	
Regulatory body:	
Firm Reference Number:	

If you have any queries as to what information to provide for verification purposes, please call the Administrator on 0370 707 0073.

Source of Funds

Note: Source of funds refers to the origin or location from which money or assets are to be transferred for investment and the source of the money in that account.

☐ UK bank or building society account:

Account name:

Sort code: Account number:

☐ Account with another UK regulated firm:
FCA regulated firm:

Account name:

☐ Other

If you answered Other, please provide details:

The activity generating the funds to be used for subscription monies:

- ☐ Existing investments
- ☐ Entity's profits
- ☐ Other
- ☐ Sale of property/business
- ☐ Donations

Please provide:

- Existing investments – evidence of the sale of shares
- Sale of a property – evidence of the conveyancing;
- Profits – most recent audited accounts.

If Other, please specify:

Source of Wealth

Note: Some business relationships require us to enhance the initial checks and ongoing monitoring, as part of our responsibility to prevent financial crime. Please complete the following details. The Administrator will inform you if additional information is required.

You do not need to complete the Source of Wealth section if the beneficial owner (corporate entity)/settlor (trust)/donor (charity) is:

- solely a UK national, UK citizen and resident in the United Kingdom for tax purposes and/or
- investing less than £750,000 and/or
- not a Politically Exposed Person

Is a beneficial owner (corporate entity)/settlor (trust)/donor (charity) or a family member or close associate a Politically Exposed Person?

Yes No

Note: A Politically Exposed Person ("PEP") is an individual entrusted with a prominent public function within the last 12 months, which may make them vulnerable to corruption and includes immediate family members (spouse or civil partner, children and spouses or civil partners of the children and parents of the PEP and known close associates (someone who has joint beneficial ownership of a legal entity or arrangement or other close business relations with a PEP or sole beneficial ownership of a legal entity or arrangement which is known to have been set up for the benefit of a PEP).

If answered yes, please provide further details:

Source of wealth (activities generating overall wealth):

Note: Source of wealth describes how an individual's total wealth was acquired.

- ☐ Ownership of businesses or investments
- ☐ Employment income (salaries, bonuses, pensions)
- ☐ Inheritance or family wealth transfer
- ☐ Other, please specify:

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Please provide details of the sources of your accumulated wealth. For example, if wealth has been derived from employment, please provide a full history of occupations both current and former, including names of companies and positions held, dates and annual salary received whilst in those particular positions:

Expected trading volumes and frequency

The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.

Please complete this section with your expectations in terms of investment in the Fund(s).

Expected frequency of trading

☐ Single transaction ☐ Annually

☐ Other (please provide details):

Expected top-up investment amount(s):

Please detail amounts by transaction:

Purpose of Investment:

Capital Preservation ☐ Income Growth ☐ Other ☐

If you answered Other, please provide details:

Investment Objectives:

Tax Efficiency ☐ Diversification ☐ Other ☐

If you answered Other, please provide details:

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Section 4 - Settlement Details

Settlement

Payments should be made to the following Royal Bank of Scotland bank account:

Sterling payments only:

Account:	THESIS UNIT TRUST MANAGEMENT (D) CORPORATE DEALING BUSINESS CURRENT ACCOUNT
Account Number:	17419571
Sort Code:	16-00-15
Swift:	RBOSGB2L
IBAN:	GB34 RBOS 1600 1517 4195 71

Settlement should be made in the currency of the selected Share class directly into the relevant bank account no later than the Settlement Day (please refer to the Contract Note).

Originating Bank/Building Society Account Details[1]

Note: Subscription monies have to originate from the account of the investor(s).

Account Name:	
Account Number:	Sort Code:
Address Line 1:	
Address Line 2:	
Address Line 3:	Postcode:

By signing this Application Form, you confirm that any income for the holding and any receipts from redemptions should be paid to the above account.

Please note that, if you do not provide your bank or building society details, then we will not be able to process your application.

The fund will make all settlement and income payments to the bank / building society account you have detailed above. If you require income payments to be made to a different bank account, please contact the Administrator by telephone on 0370 707 0073. Alternatively, you can send an e-mail to us at info@tutman.co.uk or call 01243 531234 or write to us at Thesis Unit Trust Management Limited, Exchange Building, St John's Street, Chichester, West Sussex PO19 1UP.

[1] ~~*A request to change bank or building*~~ *society account details must be sent in writing to the Administrator and must be accompanied by a bank statement or banker's reference.*

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Section 5A - Self-Certification for Entities

(if applicable)

Entity classification for the purposes of FATCA

The Entity will either be a Financial Institution (FI) or a Non-Financial Foreign Entity (NFFE). If you are an FI please complete Section 1 below and if you are an NFFE please complete Section 2 below to determine the status of the Entity.

1. The Entity is a Financial Institution

(a) If you have registered as an FI please provide your Global Intermediary Identification Number (GIIN)

---------/---------/---/-----

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

i) The Entity has applied, or is going to apply, for a GIIN (but has not yet received it) ☐

ii) The Entity is an 'Exempt Beneficial Owner' (e.g. International Organisations) ☐

iii) The Entity is or intends to be an "Owner-documented FI" ☐

iv) The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity or UK registered charitable trust) ☐

v) The Entity is a "Non-Participating FI" ☐

vi) Other reason (Please specify) ☐

2. The Entity is NOT a Financial Institution

If the Entity is not an FI, it will be considered to be an NFFE. It can be an Active, Passive or Direct Reporting NFFE.

Please note that the concepts of a "Direct Reporting NFFE" are only applicable to the UK-US Agreement.

Please confirm the status of the Entity according to UK Regulations.

Active NFFE ☐

Passive NFFE ☐
(*Please complete section E below*)

Direct Reporting NFFE ☐

Please provide the NFFE's GIIN: ---------/---------/---/-----

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3. 'Passive NFFE' Controlling Persons Self-Declaration of Residency

If you have declared the Entity to be an FI or an Active NFFE in Sections 1 or 2 above, you do not need to complete this section. Otherwise, the Entity will be considered a 'Passive NFFE' and you should complete this section.

Please could you list below each controlling person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH controlling person. If a controlling person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Name	Country of Tax Residency (Do Not Abbreviate)	Address	Tax Identification Number	Country of Birth	Date of Birth

(Please attach additional sheets if necessary)

Section 5B - Self-Certification for Trusts

(if applicable)

Trustee classification for the purposes of FATCA
The Trustee will either be a Financial Institution (FI) or a Non-Financial Foreign Entity (NFFE). If you are an FI please complete Section 1 below and if you are an NFFE please complete Section 2 below to determine the status of the Entity.

1. The Trust is a Financial Institution

(a) The Trust is able to provide a Global Intermediary Identification Number (GIIN)

i) The Trust has registered as an FI - please provide the Trust's GIIN; or ------/-----/--/---

ii) The Trust is 'Trustee documented' - please provide the Trustee FI's GIIN; ------/-----/--/---

Name of Corporate Trustee FI, if applicable:

(b) If the Trust is unable to provide a GIIN, please give a reason by ticking one of the boxes below:

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i) The Trust has applied, or is going to apply, for a GIIN (but has not yet received it) ☐

ii) The Trust is an 'Exempt Beneficial Owner' ☐

iii) The Trust is or intends to be an "Owner-documented FI" ☐

iv) The Trust is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity or UK registered charitable trust) ☐

v) The Trust is a "Non-Participating FI" ☐

vi) Other reason (*Please specify*) ☐

2. The Trust is NOT a Financial Institution
If the Trust is not an FI, it will be considered to be an NFFE. It can be an Active, Passive or Direct Reporting NFFE.

Please note that the concepts of a "Direct Reporting NFFE" are only applicable to the UK-US Agreement.

Please confirm the status of the Entity according to UK Regulations:

Active NFFE ☐

Passive NFFE ☐
(*Please complete section 3 below*)

Direct Reporting NFFE ☐

Please provide the NFFE's GIIN: ------/-----/--/---

3. 'Passive NFFE' Controlling Persons Self-Declaration of Residency
If you have declared the Entity to be an FI or an Active NFFE in Sections 1 or 2 above, you do not need to complete this section. Otherwise, the Entity will be considered a 'Passive NFFE' and you should complete this section.

Please list below each controlling person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH controlling person. If a controlling person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number. Tutman reserves the right to reject applications where controlling persons are non-UK residents.

Name	Country of Tax Residency (Do Not Abbreviate)	Address	Tax Identification Number	Country of Birth	Date of Birth

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(Please attach additional sheets if necessary).

Section 6 - Intermediary's Details and Declaration (if applicable)

Part A – Intermediaries, please complete this section:

As intermediary, I/we certify that:

- The identity of the named investors in this Application Form has/have been verified by me/us in accordance or at a level exceeding the standard evidence set out in the Guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG) as amended from time to time.
- The documentary evidence to support the identification is held by me/us and can be produced on demand.
- I have provided advice about this application: Yes No
- The applicant has been provided with the Fund Disclosures before making this application.
- The investor is in the target market for the Fund.
- I hereby indemnify Thesis Unit Trust Management Limited for any loss suffered should it subsequently be discovered that the applicant(s) was/were entitled to Cancellation Rights and no cancellation notice was sent as a result of the undernoted.
- I confirm that the applicant(s) named in this Account Application Form is/are not entitled to Cancellation Rights under the FCA Conduct of Business Rules.
- I confirm I have read and understood your Terms of Business – Intermediaries and your Privacy Notice – Intermediaries.

☐ ***Non-UK applicants:*** I confirm that the applicant(s) named in this Account Application Form has/have declared that:

- ☐ they are not a resident of a non-UK jurisdiction where the shares/units in the Fund(s) have to be registered or the local regulator notified of marketing of shares/units in a UK fund;
- ☐ they are resident in the non-UK country set out in this Application Form;
- ☐ they have not received any marketing literature or verbal representations in respect of the Fund;
- ☐ they are requesting submission of this Application Form on their own initiative; and
- ☐ they acknowledge that approval of their application is subject to the laws/regulations in their jurisdiction.

☐ I can confirm that we have verified the identity of the applicant(s) and, having:

- ☐ seen the original documents;
- ☐ checked that any requiring a signature were pre-signed; and
- ☐ confirmed that any associated photograph(s) of the applicant(s) bore a good likeness of the applicant(s),

we have included the relevant reference information or certified documentary evidence on/with this Application.

Intermediary's Name:	
Firm Reference Number:	
Telephone Number:	
Email address:	

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Signature:

Intermediary/Agent Stamp and Authorisation

We will not pay commission to any financial adviser or facilitate adviser charging in respect of your investment.

Part B - Intermediary Authorisation

The applicant should complete this section.

Where "I" is used, it refers to each of the signatories.

I, the applicant, authorise Tutman to accept instructions, as related to the activities below, on my behalf, from the intermediary appointed by me.

Please tick the appropriate box(es):

- ☐ Obtain information about investment held, including valuations and transaction history
- ☐ Update information on the account, such as correspondence address
- ☐ Provide dealing instructions

If, at a later date, I no longer wish the intermediary to be authorised to provide instructions, I will advise Tutman in writing and acknowledge that the authorisation given will remain effective until that revocation has been received by Tutman, or until such later date as I shall specify.

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Section 7 – Applicant Declaration and Authority

All applicants:

- I/We declare that this Account Application Form has been completed to the best of my knowledge and belief and request Thesis Unit Trust Management Limited to act in accordance with my/our instructions.
- I/We have been provided with the Terms of Business and understood the information contained in this Account Application Form and the Terms of Business and agree to be bound by it. I/We acknowledge that the Terms of Business may be amended from time to time at Tutman's discretion.
- I
- I/We hereby agree to indemnify Thesis Unit Trust Management Limited and its delegates and/or agents including the Administrator for any loss arising to Thesis Unit Trust Management Limited and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction if I/we have not provided the relevant or correct information to Thesis Unit Trust Management Limited in this regard. This indemnity applies notwithstanding anything to the contrary in this Account Application Form or the Terms of Business, unless otherwise agreed by Thesis Unit Trust Management Limited in writing.
- I am/We are aware that, in certain circumstances, Thesis Unit Trust Management Limited will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- By providing an email address, I/we consent to receiving documents relating to our account and the Fund(s) via email and will notify the Administrator if that email address changes. I/We acknowledge that I/we may (or our intermediary may) request a hard copy of such documents and/or revoke, in writing, this consent to receiving information electronically.
- I/We consent, on a continuing basis, to the use by Tutman of the "delivery versus payment exemption", meaning that Tutman is not required to treat any subscription payment I/we make as client money immediately, provided that the money is used to make the subscription within one Business Day following the day on which Tutman received it. I/we understand that my/our money will not be protected from the insolvency of Tutman during such period.
- I/We consent to Tutman transferring any Client Money held by it to another person where the Client Money relates to any business being transferred, on the basis that the recipient holds such Client money in accordance with the Client Money Rules (as defined in the Terms of Business. There is no need for Tutman or the recipient to require our consent to such transfer.
-
- I/We declare that the latest Prospectus, KIID or NURS-KII Document, Supplementary Information Document and Consumer-Facing Disclosure and Assessment of Value Statement (each as is defined in the Terms of Business - Retail) ("Fund Disclosures"), as applicable to the Fund(s) listed in this Account Application Form, have been provided or made available to me/us in good time prior to submitting this Account Application Form and that I/we have read and reviewed such documents and have had any questions answered to my/our satisfaction prior to making this declaration.
- I/We hereby acknowledge and agree that the latest Fund Disclosures for each class of share/unit is available on Tutman's website at www.tutman.co.uk or on request by telephoning 0370 707 0073 and that I/we will read and review the most up-to-date version of the relevant Fund Disclosures, prior to making any subsequent application for Shares/Units in a Fund.
- I/We agree that, if the Fund Disclosures are made available to me/us by means of Tutman's website, I/we have been given the option to receive the relevant document in paper copy and have chosen to receive it by means of Tutman's website instead.
- I/We hereby agree to reimburse Tutman and its delegates and/or agents including the Administrator for any loss arising to Tutman and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction if I/we have not provided the relevant or correct information to Tutman and/or the Administrator in this regard. This reimbursement applies notwithstanding anything to the contrary in this Application Form or the Prospectus, unless otherwise agreed by Tutman in writing.
- I am/we are not a U.S. Person or acquiring Shares for the Account or benefit, directly or indirectly, of a US Person or with the assets of an ERISA Plan.
- I/We consent to our shares/units being compulsorily redeemed in accordance with the Prospectus if any statements made in relation to my account is not correct or becomes incorrect.

Non-UK applicants:

- In completing this Account Application Form, I/we confirm that:
  - I am/we are not a US Person or acquiring Shares for the account or benefit, directly or indirectly, of a US Person or with the assets of an ERISA Plan
  - I am/we are not a resident of a non-UK jurisdiction where the shares/units in the Fund(s) have to be registered or the local regulator notified of marketing of shares/units in a UK fund;
  - the applicant is resident in the non-UK country set out in this Account Application Form;
  - the applicant has not received any marketing literature or verbal representations in respect of a Fund in that country;
  - the applicant is requesting submission of this Account Application Form on its own initiative and neither Thesis Unit Trust Management Limited nor the Fund has solicited this investment directly or through an intermediary; and
  - the applicant acknowledges that approval of its application is subject to the laws/regulations in their jurisdiction.

Sanford DeLand
ASSET MANAGEMENT
Business Perspective Investors

tutman.

Signing Basis for Instructions (e.g. All Directors, any two, etc.)

Applicant Names and Signature(s):

First Name:	
First Signature:	Date:
Second Name:	
Second Signature:	Date:
Third Name:	
Third Signature:	Date:
Fourth Name:	
Fourth Signature:	Date:

Power of attorney

Unless by prior agreement, We may only accept Powers of Attorney (original or certified copy) due to physical or mental incapacity. For physical incapacity it must be accompanied by a written declaration by the person signing the Application. In the case of mental incapacity, the Power of Attorney must be registered and stamped by the Office of Public Guardian.

Please contact the Administrator if an attorney is to sign.

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Business Perspective Investors

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APPENDIX 1 - List of entities referred to as "Other"

- Non UK and EEA Regulated Firms
- Distributor
- Distributor - non-UK/EEA
- Platform
- Collective Investment Scheme/Fund of Funds
- Lawyers/Accountants and others acting in professional capacity (non FCA Regulated)
- Other non-listed entities subject to statutory regulation (eg by OFCOM)
- Unregulated or unregistered Pensions
- Private Corporates (inc overseas) (inc LLPs)
- Nominee - Unregulated Parent
- Public Sector Bodies/Local Authorities (eg councils, state owned schools)(other than registered charity or trust)
- Independent Schools/Colleges/Universities (other than registered charity or trust)
- Other partnerships /unincorporated businesses
- Clubs, societies (other than registered charity or trust)
- Sovereign Wealth Funds
- State Owned Entity
- Unclassified

APPENDIX 2 – Checklist

Before you send your completed Account Application Form to us, please use the checklist below:

☐ All sections have been completed and responses are legible.

☐ If you are an Intermediary, please ensure your details are completed.

☐ The declaration has been signed.

Anti-Money Laundering verification:

☐ For a trust, please provide copies of the following identity documentation should be provided:- Trust deed and full details (full name and address) of the settlor and all beneficiaries of the trust.

☐ For a body corporate, certified copies of the following identity documentation should be provided:- Memorandum and articles, certificate of incorporation, list of directors and authorised signatory list.

☐ For a pension plan, certified copies of the following identity documentation should be provided:- Trust deed and any rules (and any amended deed): showing the name of the scheme and trustees (if applicable) from the most recent definitive deed and a copy of the HMRC letter confirming the registration of the pension scheme.

We may record telephone calls to improve customer service and for regulatory record-keeping purposes.

Thesis Unit Trust Management Limited is registered in England and Wales under number 03508646. Thesis Unit Trust Management Limited is authorised and regulated by the Financial Conduct Authority and is entered in the Financial Services Register (Firm Reference Number 186882). TUTMAN LLP is registered in England and Wales under number OC369415. TUTMAN LLP is authorised and regulated by the Financial Conduct Authority and is entered in the Financial Services Register (Firm Reference Number 612721).

Tutman is a trading style of TUTMAN LLP and Thesis Unit Trust Management Limited.