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ACCOUNT APPLICATION FORM – KEY POINTS
(INDIVIDUAL INVESTORS) (non-ISA)

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.

We have set out below some of the key points regarding the Account Application Form to bring them to your attention and to help with your understanding. You still need to read the Account Application Form in full. If there is anything you do not understand, or if you have any questions, please contact us (see "**How do I contact you?**" below).

These key points are not relevant to 'Intermediaries'. An Intermediary is a person (including a company or an individual) acting on behalf of an investor in a fund (for example, a financial adviser or a platform). If you are an Intermediary, make sure you have entered your details as indicated in Section 6 of the Account Application Form and complete the specific declaration. You should also read, and make sure you understand, the Terms of Business – Intermediaries, and the Privacy Policy applicable to Intermediaries provided separately.

If you require any additional support with the Account Application Form (for example, you require this document in large print, braille or audio), please get in touch with us. If you are deaf, have hearing loss or are speech impaired, you can contact us by using the Relay UK service. You can do this either by using the app, or by dialling 18001 before our number using your textphone.

What is the Account Application Form?
You need to complete the Account Application Form when you want to invest in an authorised fund managed by Tutman, and it forms the basis of our legal agreement with you. The Terms of Business – Retail Investors, provided separately, set out our respective rights and responsibilities and you must read these in full. An overview of some of the key sections of the Terms of Business is set out below for your reference (see "What do the Terms of Business cover?").

The Application Form and Terms of Business – Retail Investors should also be read alongside the Prospectus for the fund you are investing in, together with the applicable Key Investor Information Document (KIID) / NURS Key Investor Information (NURS KII) (as applicable), the Consumer-Facing Disclosure (as referred to in the Prospectus, if applicable to the Fund) and the Supplementary Information Document (SID) (together the "Fund Disclosures") before you complete the separate Subscription Form, once you have received confirmation that your account has been opened. The Fund Disclosures should be provided to you before you invest, but can also be found on our website at Literature - Tutman, or you can request a copy from the Administrator (see "How do I contact you?" below).

How do I complete the Application Form?
Fill in the details in the Application Form and the Tax Residency Self-Certification Form, as they apply to you. We have included notes to help you with this but do contact us if you need any assistance. To avoid delays or us contacting you for further information, it is important that you complete the form in black/blue ink using BLOCK CAPITALS so that the information is clear to read or by editing the PDF version and inserting your digital signature, which we will accept as being your valid signature.

You should not complete the sections labelled for 'Intermediaries' on page 14, as these are not relevant to you, but need to be completed by your Intermediary, if you have appointed one (see above for an explanation of what an 'Intermediary' is and what you need to do if you are one).

You will also need to sign the declarations in Section 4 and in the Tax Residency Self-Certification Form in Section 7. This declaration aims to make sure that you have read the key documentation, understood your rights and obligations, and that you are happy to proceed with the investment on this basis. You should not sign the declaration until you are comfortable with what it is asking you to confirm.

We also require some information from you to accept you as an investor – please see 'What information do you need from me?' below for further details.

If you require assistance or have any questions, please do contact us (see 'How do I contact you?' below).

Once you have completed the Application Form, you can send it to us, together with the Tax Residency Self-Certification Form, via one of the following methods:

Post/Recorded Delivery/Courier: Thesis Unit Trust Management Limited - Sanford DeLand Asset Management Ltd, PO BOX 12248, Chelmsford, Essex CM99 2EG
Fax: Account opening with a deal: 0330 123 3751

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General enquiries: 0345 1136 965

What do the Terms of Business cover?
The Terms of Business – Retail Investors set out the rights and responsibilities which govern our agreement, so it is very important that you read them in detail, and you are comfortable with what they are saying. If you are unsure at all, please do contact us. The table below sets out an overview of some of the key sections of the Terms of Business as a reference guide (this is not a substitute for reading the Terms of Business in full).

Section	Overview
Section 6 - How do I deal?	This section sets out the various terms relating to buying and selling investments in funds, including conditions around this and how it will operate in practice. It sets out when you need to make payment.
Section 7 - Can I switch?	This covers your ability to 'switch' between funds and the process for doing so.
Section 8 - Can dealing be suspended?	This section sets out our ability to suspend the buying and selling of investments in funds in exceptional circumstances (where it is in the best interests of investors to do so).
Section 12 – Can I cancel?	This cover cancellation rights – see 'What are my cancellation rights?' below for further detail.
Section 13 – How is my money protected?	This section sets out how uninvested money (such as redemption proceeds) is held and the treatment of this under FCA rules – see 'How is uninvested money held?' below for further detail.
Section 15 - Responsibilities	This section sets out our respective responsibilities if something goes wrong under our agreement. You should read this carefully to make sure you understand it fully.
Section 16 - How do I complain?	This covers how you can make a complaint should you wish to do so – see 'How do I make a complaint?' below for further detail.
Section 17 – Can I claim compensation?	This section provides details of the Financial Services Compensation Scheme.
Section 24 – What happens to information about me?	By reference to the Privacy Notice (attached as an appendix to Our Terms of Business), this section details the terms around the collection and use of personal data, including your rights to access the information held.
Section 27 – How am I charged?	This section highlights that applicable fees and charges are set out in the relevant Fund's Prospectus and KIID / NURS-KII Document. Increases can only happen once 60 days' notice has been provided to you.

What information do you need from me?
To accept you as an investor, you must provide us with certain information, such a proof of identity and details on source of funds. This is to ensure that we meet our regulatory obligations, particularly around financial crime, eg anti-money laundering checks and politically exposed person and sanction screening. 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. Individual/joint applicants will usually be the beneficial as well as legal owner(s). If you are not the sole beneficial owner(s) (you may be investing someone else's money on their behalf or another individual has legal ownership, benefit or control of the investment), please contact the Administrator to provide further details.

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 HM Revenue & Customs (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.

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Our Privacy Notice, which is set out at the end of our Terms of Business, and is available from www.tutman.co.uk, explains how we use the information we collect from you, and it is important that you read it.

What fund is right for me?
We do not provide investment advice. However, the Prospectus for each fund sets out a profile of a typical investor and, importantly, provides the suitable investment period for the fund (for example, a particular fund may only be suitable for an investor seeking a medium to long term investment). The Prospectus is available on our website at www.tutman.co.uk/literature/, or you can request it from us using the contact details below.

If you are unsure at all, you may want to get advice from an authorised independent financial adviser before investing.

What are the risks with investing in a fund?
It is important to understand the risks before investing in any fund. Investment funds carry certain risks which are specific to their objectives and the management of their assets. For information on a fund's investment objective and policy, and the risks, please refer to the relevant KIID / NURS KII document and Prospectus. The documents are available on our website www.tutman.co.uk/literature/, or you can request these from us using the contact details below.

There are also general risks, which apply more broadly to investing in funds. We have described some of these below.

- What you get back depends on how your investments perform, the charges which are made and any other deductions. The performance of a fund is not guaranteed, and past performance is not a reliable indicator of future results. The value of investments, and the income from them, can fall as well as rise. You may get back less than you invest.
- Inflation will affect the real value of your investments in the future. If the growth of your investments (after the deduction of charges) is lower than the rate of inflation, the real value of your investments will be reduced over time.
- Fund charges can vary and may increase, and these will reduce the potential for growth and / or income.
- Levels of tax and available tax reliefs may change in the future. Any tax benefits are subject to your individual circumstances.

How is uninvested money held?
When required under the rules set out by the Financial Conduct Authority (FCA), uninvested money, such as redemption proceeds, will be held on your behalf as client money. As a result, it will be pooled together with the money of other investors in a client account with an authorised bank (separate to our own money), which provides protection if we were to become insolvent. We retain any interest earned to offset against the costs of administering the bank account.

However, under FCA rules, in certain circumstances, when you are making an investment into a fund, we may not treat your subscription payment as client money until close of business on the business day after the day we receive your subscription payment. This means that, during that period, this money may not be held separately from our own money and does not benefit from protection as client money. This is referred to as the 'delivery versus payment' exemption under the FCA rules.

How do I instruct my first deal?
Once you have received confirmation that your account has been opened and have been sent your registered account number and account name you may submit your first deal. Please note that any deals submitted before the account has been opened will not be placed.

How do I make further investments and redemptions?
Please telephone the dealing line or complete a Subscription Form as appropriate, or send a signed instruction to the Administrator via one of the following methods:
Post/Recorded Delivery/Courier: Thesis Unit Trust Management Limited - Sanford DeLand Asset Management Ltd, PO BOX 12248, Chelmsford, Essex CM99 2EG
Fax: Account opening with a deal: 0330 123 3751
General enquiries: 0345 1136 965

What are my cancellation rights?
Where you have invested in a fund on the advice of a financial adviser, you may have the right to cancel your agreement with us within 14 days after making the investment. If you do have this right and wish to cancel, you should sign and return the cancellation form available from your financial adviser within this 14-day period.

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It is important to understand that the amount that you will receive back will depend on the performance of the investment between when it was first made and when it is sold (upon cancellation). You may receive less than you originally invested, and we are not responsible to you for the difference.

How do I make a complaint?
Should you wish to complain about any aspect of our services, please first inform us using any of the contact methods described in the 'How do I contact you?' section below. Information about our complaints procedure is available on request or alternatively can be found on our website at Complaints - Tutman.

If you are not satisfied with our handling of your complaint, you may refer it to the Financial Ombudsman at this address: Financial Ombudsman Services, Exchange Tower, Harbour Exchange Square, London E14 9SR
Telephone: 0800 023 4567 (call charges may vary)
Email: complaint.info@financial-ombudsman.org.uk
Website: www.financial-ombudsman.org.uk

Are you covered by the Financial Services Compensation Scheme?
We are covered by the Financial Services Compensation Scheme (FSCS). This means that you may be entitled to compensation from the FSCS if we are unable to meet our financial obligations to you. The maximum amount of compensation available depends on the FSCS compensation limits applying at the time of any failure and the individual circumstances of your claim. For more information about how the FSCS may apply to you, please contact us or visit the FSCS website at fscs.org.uk. The FSCS's address is 10th Floor, Beaufort House, 15 St Botolph St, London EC3A 7QU.

How do I contact you?
If you would like to contact someone about your application, you may, in the first instance, contact the Administrator by telephone on 0345 1136 965 or +44 1268 44 5298 from outside the UK. 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 Exchange Building, St John's Street, Chichester, West Sussex PO19 1UP.

If you require any special assistance with the Application Form or have additional needs (for example, you require this document in large print, braille or audio), please get in touch with us.

If you are deaf, have hearing loss or are speech impaired, you can contact us by using the **Relay UK** service. You can do this either by using the app, or by dialling 18001 before our number using your textphone.

We or the Administrator may contact you in order to conduct research into the quality of our services (including how easy you found it to complete this Application Form) and those of our service providers. You are not required to provide a response; however, we would really value your feedback. Any personal data you provide will processed in accordance with our privacy policy, which is attached as an appendix to Our Terms of Business.

Reset form

Checklist

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

- ☐ All sections have been completed and responses are legible.
- ☐ If there is more than one applicant, have their details been provided?
- ☐ If you are an Intermediary, please ensure your details are completed.
- ☐ The declaration has been signed by each applicant.

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Account Application Form
For Individual or Joint Investors only (non-ISA)

Thesis Unit Trust Management Limited ("Tutman") is the authorised fund manager ("AFM") of the Fund listed below and is authorised and regulated by the Financial Conduct Authority, under reference 186882.

Account opening and initial investment in Funds
Once your completed 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 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.

Please read the Key Points above and our Terms of Business – Retail Clients before completing the Application Form.

Please complete this form in black/blue ink using BLOCK CAPITALS and return the completed Application Form to the office of the Administrator of the Fund as follows:

Post/Recorded Delivery/Courier: Thesis Unit Trust Management Limited – Sanford DeLand Asset Management Ltd, PO BOX 12248, Chelmsford, Essex CM99 2EG
Fax number: 0330 123 3751 3751

General enquiries: 0345 1136 965

Please note the Application Form will be reviewed by the Administrator without undue delay.

If you require any additional support with this Application Form, please let us know by completing Section 5 below.

Data Protection Legislation
By completing this Application 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 (as defined in our Terms of Business – Retail). You confirm that you have read the Privacy Notice provided with this Application Form 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 Data Protection 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 - Investors, attached 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 your personal information changes.

If the information requested in this Application Form and the Tax Residency Self-Certification Form is not provided, the account opening may be delayed.

Joint applicants must each sign. In the case of joint holders, all payments and correspondence will be sent to the first named holder.

Section 1 - Personal details:

Title	Surname	Forename(s) in full

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Account designation[1] (if applicable) *Maximum 15 Characters*

For the second named holder above, and any subsequent holders, we need to be advised of their details on a separate sheet to be sent with this Application Form.

Permanent residential address:

Address Line 1:

Address Line 2:

Address Line 3:

Postcode:

Telephone (daytime):

Email address:

Existing account number (if applicable):

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

Address Line 1:

Address Line 2:

Address Line 3:

Postcode:

Nationality/ies:

Date of Birth:
(dd/mm/yy)

Occupation:*

Industry:**

*If retired, please state your main occupation during your working life
** e.g. Banking, Construction, Pharmaceuticals

[1] If this application is made on behalf of a child, the account must be registered in the name of an adult but designated on behalf of the child. Please put the child's initials in this box.

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Section 2 - Anti-money laundering verification

Note: We are legally obliged to check your identity and the source of the money invested for anti-money laundering purposes. 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 Application Form you are giving us, and the Administrator on our behalf, permission 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.

Purpose of Investment:

Capital Preservation ☐ Income ☐ Growth ☐ Other ☐

If you answered Other, please provide details:

Investment Objectives:

Retirement Planning ☐ Tax Efficiency ☐ Diversification ☐ Other ☐

If you answered Other, please provide details:

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:

◯ Other

If Other, please specify:

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

☐ Existing investments
☐ Sale of property/business
☐ Inheritance or gifts
☐ Savings
☐ Employment income
☐ Compensation/settlement payment
☐ Other

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Please provide:

- Existing investments – evidence of the sale of shares
- Sale of a property – evidence of the conveyancing;
- Inheritance –names, relationships, dates, jurisdiction of probate and amount and a copy of the will;
- Employment income –most recent payslip.

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 this Source of Wealth section if you are:

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

Are you 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[2] within the last 12 months 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:

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:

[2] For example, Members of Parliament, judges of the Supreme Court, senior positions in state-owned enterprises, the boards of central banks, ambassadors, high-ranking positions in the armed forces and senior positions in an international public organisation.

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Expected trading volumes and frequency
The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owner(s) or the intermediary.

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

Expected frequency of trading

☐ Single transaction
☐ Other (please provide details):

Expected initial and 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:

Retirement Planning ☐ Tax Efficiency ☐ Diversification ☐ Other ☐

If you answered Other, please provide details:

Section 3 – Settlement Details

Settlement

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

Sterling payments only:

Account:	THESIS UNIT TRUST MANAGEMENT LTD CORPORATE DEALING ACCOUNT
Account Number:	17419571
Sort Code:	16-00-15
Swift:	RBOS GB 2L
IBAN:	GB34 RBOS 1600 1517 4195 71

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

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Originating Bank/Building Society Account Details[3]
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:

I/we confirm that any income for the holding and any receipts from redemptions should be paid to the above bank/building society 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.

Section 4 - Applicant Declaration and Authority

- I am 18 years of age or over[4].
- I am/I am not a UK resident *(please delete as appropriate)*.
- I/We have had the opportunity to ask questions relating to the information contained in this Application Form and the Terms of Business - Retail, and have had any such questions answered to my/our satisfaction prior to making this declaration. Accordingly, I/we have understood said information 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/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 Terms of Business - Retail, unless otherwise agreed by Tutman in writing.
- Non-UK residents only: In completing this Application Form, I/we confirm that:
    - I cannot be classified as a U.S. person;
    - 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;
    - I am/we are resident in the country set out in this Application Form;
    - I have/we have not received any marketing literature or verbal representations in respect of the Fund in that country;
    - I am/we are submitting this Application Form on my/our own initiative; and
    - I/we acknowledge that approval of my/our application is subject to the laws/regulations in my/our non-UK jurisdiction.

[3] *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.*

[4] Please note that shares/units cannot be registered in the name of a minor.

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- I am/We are aware that, in certain circumstances, Tutman will be obliged to share information with HMRC, who may pass it on to other tax authorities.
- By providing an email address, I/we consent to receiving documents relating to my/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 - Retail.
- 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 or +44 203 975 3976 from outside the UK 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.
- I/We understand the investment objective(s) of the Fund(s) listed in this Account Application Form and I am/we are satisfied that it meets my/our current financial objectives.

Applicant Name(s) and Signature(s):

First Name:	
First Signature:	Date:

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Second Name:	
Second Signature:	Date:

Power of attorney

Unless by prior agreement, we may only accept a lasting power of attorney ("LPA") (original or certified copy) due to physical or mental incapacity. The LPA should only be registered with us when the attorney needs to start supporting the person granting the power of attorney ("donor") with their finances. We cannot accept an LPA with an instruction to come into effect on a future date. An attorney can only register the LPA with us when the donor loses mental capacity, otherwise the donor should do this. The LPA must be registered and stamped by the Office of Public Guardian before it can be registered with us. Enduring powers of attorney relating to decision about property and money granted before 1 October 2007 (when LPAs replaced them) can be accepted.

Before we accept any forms signed by your appointed attorney, we may make electronic checks on their identity and address and may also ask for documentary evidence for verification purposes.

Attorney Details and Signature(s):

Donor Name:	
Attorney Title and Full Name:	
Date of birth:	
Attorney Signature:	Date:
Address Line 1:	
Address Line 2:	
Address Line 3:	Postcode:
Telephone (daytime):	
Email address:	

Section 5 - Notification of retail clients requiring additional support

Tutman is committed to ensuring that the right service is provided to retail clients in its funds, with a level of care that is appropriate given any particular requirements or circumstances, whether temporary or permanent. The level of care that is appropriate for certain retail clients may be different to that of others and Tutman is committed to ensuring that any such clients who may require additional support are treated fairly.

Clients who may require additional support are those who, due to their personal circumstances are especially susceptible to harm, particularly when a firm is not acting with appropriate levels of care. Certain characteristics may result in retail clients having additional or different needs and may affect their ability to make decisions and choices or represent their own interests. Such clients may be at greater risk of harm.

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As guidance, the FCA has provided four key drivers which may result in a client requiring additional support, in addition to certain examples that may affect those key drivers and indicators:

Health:

- Physical disability
- Severe or long-term illness
- Hearing or visual impairment
- Mental health condition or disability
- Addiction
- Low mental capacity or cognitive disability

Life events:

- Retirement
- Bereavement
- Income shock
- Relationship breakdown
- Domestic abuse (including economic control)
- Caring responsibilities
- Other circumstances that affect people's experience of financial services e.g., leaving care, migration, convictions

Resilience:

- Inadequate (outgoings exceed income) or erratic income
- Over-indebtedness
- Low savings
- Low emotional resilience

Capability:

- Low knowledge or confidence in managing finances
- Poor literacy or numeracy skills
- Poor English language skills
- Poor or non-existent digital skills
- Learning difficulties
- No or low access to help or support

Please note that the above list is exemplary and not definitive. You may wish to disclose to us separate or additional circumstances which suggest you require additional support.

Is there any information or are there any circumstances that you would like to disclose to us which you believe might result in you requiring additional support?

Please give details in the box below of any circumstances which you deem relevant to the provision of our services to you. Please note that by signing this Application Form you consent to us processing any special category personal data you share with us.

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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 I have read and understood your Terms of Business – Intermediaries and your Privacy Notice – Intermediaries.

◯ I confirm that the applicant(s) named in this Application is/are entitled to Cancellation Rights under the FCA Conduct of Business Rules. (Tick only if Cancellation Rights apply)

Or

◯ I confirm that the applicant(s) named in this Application is/are not entitled to Cancellation Rights under the FCA Conduct of Business Rules because:

- ☐ the contract represents an exchange of Units between sub-funds of the same umbrella.
- ☐ the contract relates to a change between Units of one class and Units of another class in the same scheme.
- ☐ the applicant is not habitually resident in the UK at the date of the offer of the contract.
- ☐ no Personal Recommendation of the contract was provided by anyone carrying on designated investment business in the UK.
- ☐ the contract relates to the second and subsequent purchases of Units under recurring single payment Unit savings plans, provided that:
  - ☐ the intention or option to make a series of single payments is disclosed at the outset (for example in pre-contract disclosure documents); or.
  - ☐ the intention is evidenced (for example, by the establishment of a direct debit mandate).

☐ Non-UK applicants: I confirm that the applicant(s) named in this Application 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: _____

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Firm Reference Number:	
Telephone Number:	
Email address:	
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 (if applicable)

The applicant should complete and sign this section.

Where "I" is used, it refers to each of the signatories and the Declaration is made by each signatory on behalf of all 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.

Signature sole/first applicant:

	Date:

Signature second applicant:

	Date:

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Section 7 - Individual Tax Residency Self-Certification Form

Instructions

Please ensure this form is filled in and submitted with your Application Form or the account opening will be delayed.

Please read these instructions before completing the form.

Note: Under international tax compliance regulations (the International Tax Compliance Regulations 2015, as amended from time to time, which implement the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS)), we are required to:

- *Collect information about investors' tax residency;*
- *Perform due diligence obligations to identify account holders that are resident overseas;*
- *Maintain a record of the due diligence; and*
- *Report to HMRC those accounts identified as reportable (including if we do not receive a valid self-certification from you) to a jurisdiction where an exchange requirement exists. HMRC may in turn share this information with any or all participating tax jurisdictions that have agreed to exchange information under FATCA and CRS.*

If your tax residence (or the account holder, if you are completing the form on their behalf) is located in a country that is signed up to the CRS, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to our local tax authority.

You agree to provide us or the Administrator promptly with such information as is requested by us to comply with such international tax compliance regulations and any other information exchange requirements and you will reimburse us for any losses, expenses, fines and penalties we may incur arising from your failure to do so, to the extent such losses, expenses, fines and penalties are caused by your negligence, breach of terms under this application form, fraud or wilful misconduct.

In general, you are tax resident where you are liable to taxes, based on where you live and work permanently. Different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.

If any of the information provided changes in the future, please advise of these changes promptly.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. For example, if you are resident in the UK for tax purposes, please enter 'UK' in the first column and your Tax Identification Number (i.e. your National Insurance Number) in the second column.

You can find definitions of who is classified as an account holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to the account holder's tax status or other mandatory fields included on this form.

This form is intended to request information only where such request is not prohibited by local law.

Please fill in this form if you are an individual account holder.
For joint or multiple account holders, use a separate form for each individual person.

Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need an "*Entity tax residency self-certification*." Similarly, if you are a controlling person of an entity, please fill in a "*Controlling person tax residency self-certification form*" instead of this form.

If you are filling in this form on behalf of someone else.
Please tell us in what capacity you are signing in Part 3.

For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney. A legal guardian should complete the form on behalf of an account holder who is a minor.

As a financial institution, we are not allowed to give tax advice.
If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or local tax authority.

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You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information along with details about the information being requested on the OECD automatic exchange of information.

* Mandatory fields

Individual tax residency self-certification Form

(please complete parts 1-3 in BLOCK CAPITALS)

Part 1 – Identification of Individual Account Holder

Family Name or Surname(s): *

Title:

First or Given Name: *

Middle Name(s):

B. Current Residence Address:

Line 1 *(e.g. House Name, Number, Street)*

Line 2 *(e.g. Town/City/County)**

Country: *

Post Code:

C. Mailing Address: *(please only complete if different to the address shown in Section **B**)*

Line 1 *(e.g. House Name, Number, Street)*

Line 2 *(e.g. Town/City/County)*

Country:

Post Code:

D. Date of Birth* *(dd/mm/yyyy)*

E. Place of Birth

Town or City of Birth *

Country of Birth*

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Part 2 – Country of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* ("TIN") *(See Appendix)*

Please complete the following table indicating (i) where the Account Holder is tax resident (*I.e. where they are liable to pay tax)* and (ii) the Account Holder's TIN for each country indicated.

If the Account Holder is tax resident in more than three countries, please use a separate sheet.

If a TIN is unavailable, please provide the appropriate reason **A, B** or **C where indicated below**:

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents
Reason B - The Account Holder is otherwise unable to obtain a TIN *or equivalent number(Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)*
Reason C - No TIN is required. (*Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)*

Country of tax residence		**TIN**	**If no TIN available enter Reason *A, B or C***
1			
2			
3			

*Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason **B** above*.

1	
2	
3	

Part 3 – Declarations and Signature*

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise within 90 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Signature:	Date:

Print name:

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney

Capacity:

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Appendix – Tax Residency Self-Certification Form Definitions

Note: *These are selected definitions provided to assist you with the completion of this form. Further details can be found within the OECD "Common Reporting Standard for Automatic Exchange of Financial Account Information" (the "CRS") and the associated "Commentary" to the CRS or for FATCA: https://www.treasury.gov/resource-center/tax-policy/treaties/Pages/FATCA.aspx and https://www.irs.gov/Businesses/Corporations/FATCAFAQs or https://www.irs.gov/individuals/international-taxpayers/classification-of-taxpayers-for-us-tax-purposes.*

If you have any questions about these definitions or require further detail then please contact your tax adviser or local tax authority.

"Account Holder" The term "Account Holder" means the person listed or identified as the holder of a Financial Account. A person holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

"Reportable Person" The CRS defines the Account Holder as a "Reportable Person". A Reportable Person is further defined as an individual who is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction.

"Financial Account" A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

"Reportable Jurisdiction" A Reportable Jurisdiction is a Participating Jurisdiction with which an obligation to provide financial account information is in place.

"**Participating Jurisdiction"** A Participating Jurisdiction means a jurisdiction with which an intergovernmental agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard.

"Controlling Person" This is a natural person who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("NFE") then such persons are regarded as the Account Holder(s). This definition corresponds to the term "beneficial owner" as described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012). **If the account is maintained in relation to the Account Holder in their role as a Controlling Person then the *"Controlling Person tax residency self-certification" form* should be completed instead of this form.**

"Entity" The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

"TIN" (including "functional equivalent") The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

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.