



Ninety One OEIC application form

For individual investors



This application form should only be completed by individual investors.

This Form can be used by individual investors to make an initial lump sum and/or regular savings investment in the Ninety One OEIC Fund range. Please ensure that you read the Prospectus, the Key Investor Information Document (KIID) for the share class of the fund(s) you want to invest in and the Supplementary Information Document (SID), which includes the Terms and Conditions for Direct Investors. If you are a US person we will not be able to accept your application.

Documents available

The following documents are available on the Ninety One website at www.ninetyone.com

- Prospectus
- Supplementary Information Document
- Key Investor Information Document (KIID)

Financial intermediaries

If a financial intermediary has arranged this application, commission may be payable to them if advice has not been given.

Ninety One Client Services Team

Telephone: +44 (0)20 3938 1900
Email: ninetyoneenquiries@uk.sscinc.com

Please note that we do not accept dealing instructions by email.

How to return this form

Please send this application form to:

Postal address:

Ninety One Fund Managers UK Limited
PO Box 9042
Chelmsford
CM99 2XL

Hand deliver/courier:

Ninety One Fund Managers UK Limited
Adams House
2 Springfield Lyons Approach
Chelmsford, Essex
CM2 5LG

Application checklist

- Have you completed the parts applicable to you as detailed in the section 'How to complete this form'?
- If this form is submitted via a financial intermediary, has Part I been completed by that financial intermediary?
- Please arrange to make a bank transfer for the amount you wish to invest to our bank details shown on page 6. If you are unable to make a bank transfer you may submit a cheque made payable to Ninety One Fund Managers UK Ltd.
- Please also provide bank verification documentation as detailed in Part E to enable us to identify your bank transfer and to be able to release redemption proceeds to your account.
- Have you signed and dated the declaration in Part I?
- If you would like access to our online valuation service, have you supplied your email address in Part B? If you elect to do so, we will email you with instructions on how to access this service.
- If you are investing through our regular savings plan, have you completed the attached direct debit form?

For details of available Funds in the Ninety One OEIC Fund range, including available share classes and minimum investment limits for each share class in each Fund, please refer to the Funds/ Prices & Performance page on our website (www.ninetyone.com).

How to complete this form

Part	Instructions
Part A	Please complete - this is a mandatory section.
Part B	Please complete if applicable.
Part C	Please complete - this is a mandatory section.
Part D	Please complete - this is a mandatory section.
Part E	Please complete - this is a mandatory section.
Part F	Please complete - this is a mandatory section.
Part G	Please complete - this is a mandatory section.
Part H	Please complete - this is a mandatory section.
Part I	Please complete - this is a mandatory section.
Part J	Please complete if applicable.

Please take note of all asterisked fields within each part of the Application Form listed above, these fields are mandatory. Non-completion may cause delays in the processing of your application.

Please refer to the 'How to complete this form' section on page 2 and complete the below sections, in BLOCK CAPITALS, as applicable.

* Mandatory fields.

Part A: Investor details

For joint accounts, up to four investors can be registered. If you need to add additional investors (i.e. a maximum of two more) please provide their details on a separate sheet of paper (full names, address details and signatures).

If you are applying on behalf of a child, please note that the shares cannot be held in the name of anyone aged under 18 years. They may however be held in an adult's name designated with the child's initials.

Principal named investor

Title* Surname*

Maiden name First names*

Work telephone Home telephone

Mobile number* Fax number

Email address*

Occupation (If retired, please state main occupation during working life)*

Occupation industry (If retired, please state main employer during working life)*

Date of birth* / / Nationality**

Marital status

Registered address* (Permanent residential address*** proof must be provided) (refer to Appendix)

Postcode* Country*

Mailing address (if different from registered address)

Postcode Country

Account designation (if applicable)

Second investor details (if applicable)

Title* Surname*

Maiden name First names*

Work telephone Home telephone

Mobile number* Fax number

Email address*

Occupation (If retired, please state main occupation during working life)*

Occupation industry (If retired, please state main employer during working life)*

**If you hold more than one nationality please list all nationalities.

***PO Box and c/o addresses are not valid as a registered address. These are acceptable only for mailing purposes.

Date of birth* DD / MM / YYYY Nationality**

Registered address* (Permanent residential address*** proof must be provided) (refer to Appendix)

Postcode* Country*

Mailing address (if different from registered address)

Postcode Country

Account designation (if applicable)

If there are more than two joint holders, please provide the same details as in Part A above for each additional holder on a separate sheet.

Supporting documentation

Prior to permitting investment

For **UK domiciled clients** we are able to utilise software to complete electronic verification. This removes the immediate need to send sensitive documentation through the post. Should you fail electronic verification you will be contacted to provide appropriate documentation.

If you are a **non-UK resident**, you will need to provide the below documentation with your application form. Please refer to the Appendix for guidance to ensure your documentation is in line with our requirements, including any certification.

Please tick to confirm you've enclosed them with your application :

Evidence of identity, including date of birth

Evidence of residential address

The same document cannot be used to evidence both identity and residential address.

Part B: Indicator online valuation service

If you would like to register for Indicator, Ninety One's free online valuation service, please supply your details below and tick here.

Title First name(s) Surname

Email address

Part C: Investment details

Please enter below the Fund name(s), share class and share class type(s) that are to be invested in and the amount(s) to be invested. If you do not specify this information the application may be rejected.

For details of available Funds in the OEIC Fund range, including available share classes and minimum investment limits for each share class in each Fund, please refer to the Funds/ Prices & Performance page on our website (www.ninetyone.com).

Notwithstanding any indication of a share class type,* if a Fund you have selected only issues one share class type you will automatically receive that share class type. If you do not mark any share class type box below you will automatically be invested in Accumulation shares. Where available, if you elect to receive either Income or Income 2 share class types please see Part F and provide your bank details for the payment of any income to be made directly to your bank account. If you do not provide these details you will automatically be invested in the Accumulation share class type.

*Accumulation ('Acc'), Income ('Inc') or Income 2 ('Inc2')

There are important differences between Income and Accumulation Shares. You can find some information relating to these differences in the Fund's Prospectus. If you are not certain about these differences, please seek professional financial advice.

**If you hold more than one nationality please list all nationalities.

***PO Box and c/o addresses are not valid as a registered address. These are acceptable only for mailing purposes.

Expected frequency of trading*:

Expected frequency of trading*	One off and adhoc	Yearly	Monthly	Continual with no set frequency
Expected value of investments in per annum (in GBP)*	<25k	25k - 50k	50k - 100k	>100k

If greater than 100k, please indicate the expected value:

Part E: Making payment

Please arrange to make an electronic payment to our bank details, including your full name as a reference. Please also provide with your application form evidence of your bank account, detailed below.

At the same time as submitting the trade instruction (by fax, post or telephone), the subscription monies should be sent by electronic wire transfer to the corresponding bank account details below.

Bank: NatWest Plc, City of London Office, PO Box 12258, 1 Princes Street, London, EC2R 8PA

Sort Code: 60-00-01

Account Number: 45728909

Account Name: Ninety One Fund Managers UK Limited

Reference: Full Name

Cheques

If you are unable to make an electronic bank transfer, you should make your cheque payable to Ninety One Fund Managers UK Limited. The subscription will not be placed if the cheque has not been received.

It must be drawn on your own (or a joint) personal bank account. We cannot accept cheques from any other person's bank account. If you wish to pay by banker's draft or building society cheque, please ask them to print your name on the back of the cheque.

Evidence of your bank account

To allow us to accept your payment and update your bank account on our records we need evidence of your bank account to be provided. One of the following documents will be required to verify your bank details:

- A spoiled cheque
- A bank paying in slip
- An original hard copy statement less than three months old
- A formal PDF bank statement available from your internet facility less than three months old

Part F: Bank mandate for income distribution and/or redemption proceeds

Please complete this section to ensure either income distributions and/or redemption proceeds are paid directly to your bank account.

Apply Bank Details to:*

Redemption Proceeds

Income Distributions (income Share classes only)

Both (not applicable where Accumulation Share classes held)

Income distributions: If you have indicated in Part C that you wish to invest in Income or Income 2 shares you must complete this section with your bank details. If you do not provide your bank details in this section, then you will automatically be invested in Accumulation shares until such time as you provide your bank details to us.

Redemption proceeds: The payment of redemption proceeds is subject to Ninety One having verified your identity. In certain circumstances we may need to request additional information to verify your identity. If this is necessary we will write to request the information and this may delay the payment of your proceeds.

Please note, we do not make any third party payments. The bank account indicated must be in the name of the investor and we will only make income payments and redemption payments, as applicable, to this account.

Redemption payments will only be made directly into your bank account in this way if the details you provide are the same as those previously supplied. We can only make redemption payments by electronic bank transfer if we hold proof of your bank account on file.

Please contact us if you are unsure of whether we hold your current bank details.

Bank/building society name*

Branch address*

Postcode*

Account holder name*

Sort code*

Bank/building society account number*

Building society roll number

Part G: Beneficial owner

Please tick the applicable box below to confirm that you will be the beneficial owner(s) of this investment. A beneficial owner is an individual who ultimately owns, controls or stands to benefit from 25% or more of the investment.

Yes No

If you ticked **no** please provide **all** the required information about the beneficial owner(s) below. If there are more than two beneficial owners, please provide their details on a separate sheet of paper (full names, address details and date of birth).

First beneficial owner

Name of person

Date of birth DD / MM / YYYY

Permanent residential address

Postcode

Second beneficial owner

Name of person

Date of birth DD / MM / YYYY

Permanent residential address

Postcode

Part H: Tax residency self-certification

Tax regulations¹ require us to collect information about each investor's tax residency² and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HM Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions.³ Please complete all sections below as directed. If you have any questions about your tax residency,² please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly. As explained in Part A, up to four holders can be registered. If additional holders are detailed separately then their tax residency self-certification(s) will also be required, please provide these details on the OEIC Tax Self-Certification Form which can be found on our website (www.ninetyone.com).

Please indicate all countries in which you are tax resident and your associated Tax Identification Number(s)** (if applicable) in the table below.

Principal named investor

Country/countries of tax residency

Tax Identification Number

Second joint investor (if applicable)

Country/countries of tax residency

Tax Identification Number

**This is usually your Income tax reference (10 digits) or your National Insurance Number.

If more than two joint holders, please provide the same details above for each additional holder on a separate sheet.

If you do not have a Tax Identification Number (TIN), please select one of the following reasons for not having a TIN. Please tick only one box.

The investor is not required to be registered for tax (even though income tax is levied by the jurisdiction)

No TIN is issued by the jurisdiction (because income tax is not levied by the jurisdiction)

The TIN is not required to be reported by such jurisdiction under local law

Tax residency explanatory notes

1. The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).
2. In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.
3. Those countries that have agreed to exchange information under FATCA and the CRS¹.

Part I: Declaration

By signing below you declare that:

- I am/we are 18 years of age or over.
- I/we apply to make the investment(s) in the fund(s) specified in Part C.
- We declare that the information provided in part H tax residency self-certification is accurate and complete and will notify Ninety One in the event that this information changes.
- I/we have received and read an up-to-date version of the Prospectus, the Key Investor Information Document(s) for the fund(s) and share class(es) in which I/we wish to invest and the Supplementary Information Document ('SID') (which includes the Terms & Conditions for Direct Investors in the OEICs).
- I/we agree that the information provided as part of this application form, will be treated in accordance with the Privacy Notice (available at www.ninetyone.com).
- I am/we are not a US person and will inform Ninety One immediately if I/we should ever become a US person.
- The information provided on this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/we agree to notify Ninety One immediately in the event the information I/we have provided on this form, including Beneficial Ownership (Part G) and Tax Residency Self-Certification (Part H), changes.

Principal named investor signature

	Date DD / MM / YYYY
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Name (please print)

Second joint investor signature

	Date DD / MM / YYYY
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Name (please print)

Third joint investor signature

	Date DD / MM / YYYY
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Name (please print)

Fourth joint investor signature

	Date DD / MM / YYYY
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Name (please print)

Part J: Financial intermediary declaration and undertaking

(Please ignore this section if you are not a financial advisor)

If this form is submitted via a Financial Intermediary, then this section must be completed by that Intermediary. By completing this section you are confirming that you have received, read and are bound by Ninety One Intermediary Terms of Business.

Company name

Contact name

Branch address

Post code

FCA number

Ninety One agent code (if available)

Telephone number

Please tick the applicable box in either Part 1 or Part 2 below*.

I/we confirm:

Part 1 – Advice has been given in respect of this application and NO commission can be paid.

Part 2 – Advice has NOT been given in respect of this application and commission can be paid.

I/we represent and warrant that this application form is submitted on terms that require commission to be paid by Ninety One and that I/we am/are permitted to receive such commission under the FCA Rules. I/we undertake to notify Ninety One immediately if this commission ceases to be permitted under the FCA Rules. In this case I/we agree that such remuneration will cease to be payable and I will repay any such remuneration I have received.

*If Part 2 is not ticked then no commission will be paid.

Signature

	Date DD / MM / YYYY
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Full name (please print)

Position (please print)

We recommend that you retain a copy of this form for your records.

Appendix

Verification of Identity

Verification on United Kingdom Applicants/Shareholders

The Manager will first attempt to verify the information through Electronic Verification. If electronic verification fails the Manager will require:

- Certified copy of a valid government-issued document which incorporates the customer's full name and photograph, and his/her date of birth;
- Proof of residential address; and
- Proof of bank account.

Verification on International Applicants/Shareholders

For international Applicants/Shareholders the Manager will require:

- Certified copy of a valid government-issued document which incorporates the customer's full name and photograph, and his/her date of birth;
- Proof of residential address; and
- Proof of bank account.

Documentation

Acceptable documentation for verification of personal identity

- Current signed passport
- Current signed photo-card driving licence
- Residence permit issued by the Home Office to EU nationals
- Government-issued or EEA member state identity card
- Government issued National Identity card (must include name, date of birth, identification number, signature, photograph, and expiry date & address when available). Expiry date and address are not always available, as these vary from country to country.
- Current full UK driving licence (old version), provisional licences are not accepted.
- Recent evidence of entitlement to a state or local authority funded benefit, including housing benefit and council tax benefit or state pension (dated within the last year)
- HMRC tax notification (dated within the last year). Please note that P45 and P60 documents are not acceptable
- Shotgun licence
- Northern Ireland voter's card
- Self-employed registration cards for individuals and partnerships in the construction industry: CIS3 (partner); CIS4(P); CIS4(T); CIS5; CIS6

Acceptable documentation for verification of residential address

- Local authority tax bill (valid for current year)
- Current signed UK / EEA photo-card driving licence, or blue disabled driver's pass
- Current signed photo-card driving licence
- Current full UK driving licence (old version)
- Solicitor's letter confirming house purchase or land registry confirmation
- Local council rent card or tenancy agreement
- Recent evidence of entitlement to a state or local authority funded benefit, including housing benefit and council tax benefit or state pension (dated within the last year)
- Original utility bill no older than 3 months (not including mobile phone bill) or a certificate from a supplier of utilities confirming the arrangement to pay for the services on pre-payment terms
- HMRC correspondence addressed to the applicant at the stated address (dated within the last year)
- Government issued or EEA member state identity card
- Northern Ireland voter's card

- Recent system-generated or signed documentation (not printed from the internet) from a regulated financial sector firm indicating that an account/investment/insurance relationship exists and which includes the account holder's address
- A bill from a reputable credit or financial institution in your home country that includes the address

Acceptable documentation for verification of your bank account

- A spoiled cheque
- A bank pay in slip
- An original hard copy statement less than three months old
- A formal printed bank statement available from your internet banking facility less than three months old
- A pdf original available from your internet banking facility less than three months old

Certification requirements

All certified copies should be dated and signed with the following statement "Original Seen". The person/firm undertaking the certification must be easily contactable.

The certification of verification documents must be undertaken within a 12 month period - anything outside of this period will be rejected.

Self-certification or certification by a family member is prohibited.

The following persons are authorised to certify documentation:

General

- Financial Advisor
- Solicitor/Lawyer
- Accountant
- Stockbroker
- Bank or Building Society Official
- Regulated Mortgage Broker
- Notary Public
- British Consul - Country equivalent
- Judge
- Government authority

UK Specific

- Post Office - Identity verification service

SA Specific

- Commissioner of Oaths
- Ex-Officio Commissioner of Oaths
- Chartered Accountants
- Police Office -(Members of the South African Police are Commissioner of Oaths) and
- Post Office - (Post Offices in South Africa are Commissioner of Oaths).

The certification must include:

- Name of authority/certifier
- Date - within a 12 month period
- Signature
- State "Original Seen"

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