

# **SUPPLEMENTARY INVESTOR INFORMATION DOCUMENT AND TERMS AND CONDITIONS INCLUDING FOR INVESTMENT THROUGH ISAs**

## **7IM INVESTMENT FUNDS**

7IM Adventurous Fund  
7IM Balanced Fund  
7IM Cautious Fund  
7IM Moderately Adventurous Fund  
7IM Moderately Cautious Fund  
7IM AAP Adventurous Fund  
7IM AAP Balanced Fund  
7IM AAP Income Fund  
7IM AAP Moderately Adventurous Fund  
7IM AAP Moderately Cautious Fund  
7IM Sustainable Balance Fund

## **AUTHORISED CORPORATE DIRECTOR & INVESTMENT MANAGER:**

Seven Investment Management LLP  
55 Bishopsgate  
London, EC2N 3AS

Tel: +44 207 760 8777  
Fax: +44 207 760 8799  
Email: [information@7im.co.uk](mailto:information@7im.co.uk)  
Website: [www.7im.co.uk](http://www.7im.co.uk)

## **DEPOSITARY:**

Northern Trust Global Services PLC

Seven Investment Management LLP ('7IM') is authorised and regulated by the Financial Conduct Authority, FCA Register No.589124. The main business of 7IM is the operation of collective investment schemes (including ISA management). Further information may be obtained from the Financial Services Register by visiting the FCA website at <https://register.fca.org.uk/> by telephoning 0800 111 6768 or by writing to the FCA at 12 Endeavour Square, London E20 1JN.

Please read the Supplementary Investor Information and the Terms and Conditions carefully. The Terms and Conditions replace any terms and conditions which you may have previously entered into with 7IM or, prior to 1 December 2014, with Capita Financial Managers Limited. It is important that you retain the Supplementary Investor Information and the Terms and Conditions and keep them safe for future reference, as your rights as an investor are governed by them.

The Supplementary Investor Information and the Terms and Conditions apply in addition to the Prospectus and the Key Investor Information Document. The Supplementary Investor Information and the Terms and Conditions, together with the Prospectus, Key Investor Information Document and Application Form, form our agreement with you.

You should read the Prospectus for each Open-Ended Investment Company in which you invest. Please only consider investing with us if you understand the risks relevant to your Investment (as set out in the Prospectus), including the risk of losing all capital invested.

## **Supplementary Investor Information**

### **1. Cancellation rights**

- (a) You will not be entitled to cancellation rights if you invest directly using 7IM's telephone dealing service or as a postal application without receiving advice.
- (b) Cancellation rights may be available to you if you have invested as a result of independent financial advice. If you have invested via a professional adviser you may be entitled to cancellation rights within 14 days of receiving a notice of your right to cancel from us and only then if your subscription payment has been fully cleared. You cannot claim full reimbursement if the value of your investment falls before we receive written confirmation that you wish to cancel. Provided you return your cancellation instruction to us within the 14 days, we will return the amount invested to you less any fall in value your investment may have experienced in the interim. For ISA investors, cancellation rights will only apply to the first payment into your ISA. An ISA subscription cancelled within the cancellation period does not count as a subscription to an ISA.
- (c) We reserve the right to return the cancellation proceeds by cheque or bank transfer (CHAPS or BACS). Proceeds returned by bank transfer will only be returned to the account from which the original subscription was received.

### **2. Compensation**

If we cannot meet our obligations you may be entitled to compensation from the Financial Services Compensation Scheme (the 'Scheme'). Your entitlement to compensation depends on the type of business and the circumstances of the claim.

Most types of investment business are covered for claims of £85,000 per person per firm. The amounts of compensation may change from time to time and you should check your entitlement with the Scheme. Further information about compensation arrangements is available from the Scheme.

You can contact the Scheme by calling their helpline on 0800 678 1100 or 020 7741 4100, visiting the Scheme website at [www.fscs.org.uk](http://www.fscs.org.uk) or by writing to the Scheme at Financial Services Compensation Scheme, 10th Floor, Beaufort House, 15 St Botolph Street, London EC3A 7QU.

### **3. Complaints**

If you are not satisfied with any aspect of the service you have received from us, please write to us at Seven Investment Management LLP, PO Box 3733, Royal Wootton Bassett, Swindon SN4 4BG. Alternatively, you may contact us by telephone on 0333 300 0354, fax to 0207 982 3924 or by email to [7IMinvestorservices@ntrs.com](mailto:7IMinvestorservices@ntrs.com). Your complaint will be fully investigated and dealt with in line with our complaints procedures and a resolution sought. A copy of our complaints procedures is available upon request.

When we have considered your complaint, we will issue you with our final response letter. If you are not satisfied with our response, or if we cannot issue a final response letter within eight weeks of receipt of your complaint, you may refer your complaint directly to the Financial Ombudsman Service by writing to Financial Ombudsman Service, Exchange Tower, London E14 9SR, or by calling their consumer helpline on 0800 023 4567 (free when calling from a landline) or 0300 123 9123 (free when calling from a mobile telephone) or by e-mail to [complaint.info@financial-ombudsman.org](mailto:complaint.info@financial-ombudsman.org). Alternatively, if your complaint relates to our use of your personal data, you may also lodge a complaint directly with the relevant data protection authority as more fully set out in our Privacy Notice.

Making a complaint will not prejudice your rights to commence legal proceedings. Further information regarding any compensation scheme or any other investor-compensation scheme of which 7IM is a member (including, if relevant, membership through a branch) or any alternative arrangement provided, is available on request.

### **4. Voting Policy**

7IM delegates the exercise of voting rights to the relevant investment managers. 7IM has a strategy for determining when and how voting rights attached to the property of each Open-Ended Investment Company in which you invest are to be exercised for the benefit of those Open-Ended Investment Companies. A copy of the Voting Policy is available on our website at [www.7im.co.uk](http://www.7im.co.uk).

### **5. Execution Policy**

7IM's Execution Policy sets out the factors which 7IM expects the relevant investment managers to consider when effecting transactions and placing orders in relation to the Open-ended Investment Companies in which you invest. This policy has been developed in accordance with 7IM's obligations under the FCA Rules to obtain the best possible result for the Open-ended Investment Companies in which you invest. Details of our Execution Policy are available on our website at [www.7im.co.uk](http://www.7im.co.uk).

### **6. Fees and expenses**

7IM charges fees and expenses as operator of the Open-Ended Investment Companies in which you invest and full details are disclosed in the Prospectuses and Key Investor Information Documents of those Open-Ended Investment Companies, which are available on request.

### **7. Conflicts of Interest**

Details of our Conflicts of Interest Policy are available on our website at [www.7im.co.uk](http://www.7im.co.uk).

## **TERMS AND CONDITIONS**

These are the Terms and Conditions on which 7IM conducts designated investment business.

### **1. Definitions and interpretation**

1.1 In these Terms and Conditions, the following words and expressions have the meanings set out below (unless the context otherwise requires):

**Account** means the client account which we open for each ISA investor;

**Account Manager** means a person who has been authorised by HMRC to sell and manage ISA products;

**Anti-Money Laundering Requirements** means all applicable anti-money laundering legislation, regulations, rules or guidelines (as amended from time to time);

**Applicable Law** means all applicable laws and regulations of the UK;

**Application Form** means the application form to be completed and signed by you relating to your subscription for an Investment;

**Associate** means a company within the same group of companies of which 7IM is the holding company;

**Authorised Fund Manager** means an operator of an Open- Ended Investment Company;

**Business Day** means a day (other than a Saturday or a Sunday) on which the London Stock Exchange is open for general business in London, England;

**7IM, we, or us** means Seven Investment Management LLP, a Limited Liability Company registered in England No. OC378740, whose registered office is 3rd Floor, 55 Bishopsgate, London EC2N 3AS and which is authorised and regulated by the Financial Conduct Authority;

**Client Money** means all monies which we receive or hold on your behalf under the FCA Rules;

**FCA** means the Financial Conduct Authority, currently of 12 Endeavour Square, London, E20 1JN, including any replacement regulatory body;

**FCA Rules** means the rules and guidance of the FCA (as amended from time to time);

**HMRC** means HM Revenue & Customs;

**Investment** means Shares held directly or in an Account;

**ISA Regulations** means the Individual Savings Account Regulations 1998 (as amended from time to time);

**Key Investor Information Document** means the essential information describing your investment in an Open-Ended Investment Company;

**Open-Ended Investment Company** means a type of authorised investment fund of variable size in corporate form, in which investors can invest their monies which are managed and invested on their behalf by investment professionals;

**Probate Service** means the court of England and Wales which deals with non-contentious probate business;

**Privacy Notice** means the privacy notice describing our use of your personal data (as amended from time to time) available through our website at the following web page: <https://www.7im.co.uk/7IM-Funds-Privacy-Notice>;

**Prospectus** means the prospectus of any Open-Ended Investment Company in which you invest;

**Share** means a share (of any class) in an Open-Ended Investment Company operated or administered by 7IM;

**Tax Free** means there will be no personal liability to UK income tax on any income your ISA produces and no capital gains or stamp duty to pay to HMRC or other UK authorities when you sell or transfer your ISA, depending on personal circumstances. If in doubt, we strongly recommend you consult a taxation specialist;

**Terms and Conditions** means these terms and conditions;

**UK** means the United Kingdom consisting of England, Wales, Scotland and Northern Ireland only;

**Valuation Point** means, in respect of Shares (of any class), the point at which a valuation is carried out for the purpose of determining the price that such Shares (of any class) may be sold or purchased by you; and

**you or investor** means a person who invests or executes investment in financial products provided by 7IM.

1.2 References to a 'clause' means a clause of these Terms and Conditions. References to legislation, regulations, orders or rules shall mean such legislation, regulations, orders or rules, as amended from time to time or any re-enactment or replacement legislation, regulations, orders or rules, from time to time. Clause headings are for convenience only and do not affect the interpretation of these Terms and Conditions.

1.3 Whenever we use the words and expressions like "including", "for example", "in particular" and "such as", we use them by way of illustration or emphasis only and they do not limit the meaning of any preceding wording.

## 2. Money Laundering

2.1 As a company conducting investment business we are required to comply with all applicable money laundering requirements, and in particular the Money Laundering Regulations 2007 (the 'Regulations'). Our responsibility for compliance with the Regulations, including but not limited to, verifying the identity and address of our investors, is based on the guidance issued by the Joint Money Laundering Steering Group, as amended from time to time.

2.2 The provision of any services to you is, therefore, subject to satisfactory completion of our verification process and our acceptance of your Application Form.

2.3 You acknowledge that we use personal information provided by you in order to conduct appropriate checks, such as anti- money laundering and identity checks, to comply with our obligations under Anti-Money Laundering Requirements as further set out in our Privacy Notice. You also authorise us to undertake further similar searches at regular intervals to ensure our continued compliance with our obligations. You may also be required to provide additional information. Should this be necessary, we shall write to you and explain our requirements. 7IM may ask you to supply evidence of your identity and your address from time to time, for example if you change address. Should we require you to provide evidence of your identity and address then we will ask you to provide either original or certified copy documents which are personal to you and which will enable 7IM to fulfil its regulatory obligations. Where original documents are provided, these will be copied for 7IM's sole record-keeping purposes and the originals will be returned to you. Please see our Privacy Notice for further information on how your personal data is kept.

Please note that in certain circumstances we reserve the right to withhold redemption proceeds until we have received satisfactory proof of identity and/or address or such other requested information.

2.4 Subscriptions must be drawn on an account in the name of the investor and held with a recognised and authorised financial institution. Banker's drafts, building society cheques and the like must be endorsed to show that funds have been drawn on an account in the name of the investor. If such endorsement is not provided, 7IM reserves the right to request further

information and/or reject the application until such time that appropriate information is provided.

- 2.5 Subscription payments which are drawn on a third party account may be accepted, subject to clause 3.8, and if they are, will be treated as if the third party had made the application directly to 7IM.
- 2.6 Subscriptions from non-individuals must be made using the non-individual section of the Application Form and accompanied by all applicable anti-money laundering verification evidence requested by 7IM, to enable 7IM to comply with its obligations under Anti-Money Laundering Requirements.
- 2.7 To prevent financial crime, your details may be passed to governmental, regulatory or other bodies as required by law.

### **3. Applications**

- 3.1 Applications and instructions may be sent to us as described in the Application Form and the Prospectus. Application Forms can be downloaded from our website ([www.7im.co.uk](http://www.7im.co.uk)).
- 3.2 All joint investors must sign the Application Form and all references in these Terms and Conditions to 'you' or an 'investor' apply to each joint investor individually.
- 3.3 You confirm that all information you provide to us, including any information in relation to your identity and verification of your identity, and any additional information we may request from time to time, will be accurate and up-to-date and you agree to inform us promptly of any changes to the information. You accept that we may need to provide this information to HMRC or any other relevant taxation authority to comply with Applicable Law. You agree that 7IM may retain all records of identity and verification of identity provided or undertaken in connection with these Terms and Conditions for so long as 7IM is required to comply with Applicable Law in relation to the retention of such records.
- 3.4 Unless otherwise agreed by us, investors must be over 18 years of age and resident in the UK. Investments from U.S. Persons (as defined in the Prospectus) will not be accepted. If you are resident outside of the UK, you must satisfy yourself that under your local laws you are eligible to apply for and hold the relevant Investment. Your application is subject to verification of your identity and 7IM reserves the right to reject, on reasonable grounds relating to the circumstances of an applicant, any application for an investment in whole or part. 7IM will reject applications for investments by U.S. Persons. Please contact us if you think you are a U.S. Person.
- 3.5 You may authorise another person to act on your behalf by signing a third party mandate or a power of attorney (in a form acceptable to 7IM). For joint investments, all joint investors must sign. If you authorise another person to act on your behalf, you will be responsible for their actions or omissions as if they were your own.
- 3.6 Strictly all applications must be made by the investor. However, 7IM in its reasonable discretion may accept an application (or transfer application) made by an investor's legal representative where the investor is not able to complete the Application Form by reason of mental disorder, incapacity, physical disability, illness or old age. The appointed person must provide the formal document authorising the person to act on behalf of the investor and any other documentation reasonably requested by us.
- 3.7 All non-individual applicants should complete the non-individual section of the Application Form.
- 3.8 All payments by you must be made in full in the currency of the investment, and without any deductions whatsoever. We will not accept payments from third parties unless we are satisfied that the funds are owned by you. We reserve the right to request verification of the source of funds before accepting them, evidence of identity of the third party and address and/or other

information requested by 7IM to enable us to comply with our obligations under Anti-Money Laundering Requirements and, until such time, the relevant amount shall be treated as unpaid. We may, in our reasonable discretion, choose to deal before receipt of cleared funds from you. In such case, if cleared funds are not received from you within five Business Days of receipt of your Application Form or other instruction, we may sell or realise the relevant investment without further notice to you in order to meet any liabilities which we may have incurred on your behalf. In the event of such a sale or realisation, we shall be entitled to transfer such investments to such persons as we shall specify and, recover any shortfall from you.

3.9 Subject to clause 3.8, Shares are bought and sold at the next Valuation Point following receipt of a signed Application Form or instruction.

#### **4. ISA subscriptions (if applicable)**

4.1 ISA applicants must be 18 years of age or over and resident in the UK for tax purposes. If you are a Crown employee who is serving overseas, or married to, or in a civil partnership with, a Crown employee you may also qualify under the ISA Regulations.

ISA applicants are required to declare their residency status in the Application Form. If you are in any doubt about your residency status we would recommend you contact your local tax office or alternatively your professional adviser. If you do not have a local tax office or professional adviser you should contact the Residency helpline at HMRC – 0300 200 3300.

4.2 All ISA applicants must apply in writing and provide a valid and complete Application Form. ISA applications can only be made in the name of a single investor.

4.3 Your application is subject to an annual subscription limit for the current tax year as prescribed by the ISA Regulations. You will have the right to invest in up to two ISAs in any tax year – one cash ISA and one stocks and shares ISA. However please note that 7IM only offers a stocks and shares ISA. For further details of the ISA investment limits please refer to the Individual Savings Account Frequently Asked Questions page of the HMRC website ([www.hmrc.gov.uk](http://www.hmrc.gov.uk)).

4.4 If you wish to transfer an existing stocks and shares ISA from your existing Account Manager to 7IM, you must first complete the relevant transfer Application Form. In order to effect the transfer, your existing Account Manager will sell the investments held in the ISA being transferred, and transfer the net cash proceeds to us. It will then be invested in the Open-Ended Investment Company specified in your Application Form. Before your Account can be opened we must have received the transfer proceeds from your existing Account Manager.

4.5 When you appoint 7IM to manage your stocks and shares ISA, 7IM will manage it in accordance with these Terms and Conditions, your Application Form and the ISA Regulations. Your Account will be invested in Open-Ended Investment Companies managed by 7IM. 7IM does not charge additional fees for managing your ISA.

4.6 You may invest in your stocks and shares ISA up to the maximum permissible limit in any one tax year by:

- (a) lump-sum payment (and subsequent top-up payments) during any current tax year; or
- (b) monthly direct debit, in which case an Account will be opened for the current tax year and each successive tax year until you notify us otherwise. Once the first monthly payment has been made in a new tax year you will not be able to open another ISA for that tax year.

4.7 You are responsible for ensuring that you do not exceed the ISA investment limits in any tax year (taking into account any other ISAs you have for that tax year from another provider).

Amounts invested and then withdrawn may not be re-invested and any ISA allowance which is not used in any tax year may not be carried forward to subsequent years.

## **5. How we deal with you**

- 5.1 For the purposes of the FCA Rules, we classify you as a 'Retail Client'. Classification as a Retail Client provides you with the highest level of regulatory protection under the FCA Rules. When we refer to the FCA or FCA Rules we also mean any successor regulator and the rules it may make to govern our business.
- 5.2 We will never offer or provide you with any investment, trading, tax or financial advice. Nothing in these Terms and Conditions should be taken as a recommendation to buy, sell or hold shares in any company or other investments. You should rely on your own judgment when deciding whether or not to enter into any transaction or seek advice from a professional adviser.
- 5.3 You must not use your Investment as collateral to guarantee a loan or otherwise try to grant rights over your Investment.
- 5.4 Where required by the FCA's client money rules, we will hold money received on your behalf in accordance with those rules in a general client bank account, with an approved bank (as defined in the FCA Rules) in the UK. No interest will be payable to you in respect of such money. The money will not be used by us in any transactions other than as specified in these Terms and Conditions.

Please note that, whilst the cash balance for each investor will be recorded separately, Client Money will be pooled with funds held on behalf of other investors. In the event of the financial failure of 7IM or another institution holding your money you may receive less money back than you are entitled to. 7IM reserves the right to delay or withhold payments to you in the event of financial failure of the institution which is holding your money such that 7IM is unable to access that money. In those circumstances 7IM will not be liable to fund payments to you out of its own resources.

- 5.5 If 7IM ceases to act as the Authorised Fund Manager of the Open-Ended Investment Company in which you invest, 7IM will not transfer any Client Money balance which it may be holding on your behalf to the new Authorised Fund Manager. Subject to Clause 5.6, 7IM will continue to hold any Client Money balance on your behalf until such time that you have returned all relevant documentation requested by 7IM which is necessary for 7IM to return the monies to you.
- 5.6 Client money balances held by 7IM on behalf of investors may be released from client money accounts after a period of at least six years. 7IM will make good any valid claim against any released balances. However, no interest will be payable on these balances.
- 5.7 **For your ISA (if applicable):**
- (a) you authorise 7IM to undertake any functions required of an Account Manager on your behalf and to hold your cash subscription, Investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
  - (b) you must at all times meet the eligibility requirements described in clause 4.1. If at any time you cease to meet these requirements you must immediately notify us and stop any further contributions to your ISA;
  - (c) 7IM shall have authority on your behalf to apply to HMRC to claim any tax relief in respect of the Account and to make any other claims for the repayment of, or credit against, tax in respect of the Account and will credit any such amounts received to your Account. Such claims for payment of tax credits on your behalf will be made by us in accordance with the ISA



Regulations; if 7IM becomes aware that you have already subscribed to another stocks and shares ISA in the same tax year, we may automatically close your Account and we will not be liable to you for any loss, liability, damage or expense you may suffer;

- (d) the Shares in your Account will be beneficially owned by you although they will be registered in the name of 7IM, or another person or firm appointed by 7IM, for the purpose of facilitating transactions. Share certificates or other documents of title to investments will be held by 7IM or another person or firm appointed by 7IM; and
- (e) if you so request, 7IM will arrange for you to be able to attend and vote at shareholder meetings and receive in addition to the annual and half yearly reports, any other information issued to shareholders.

## **6. Internet**

7IM may permit you to deal with 7IM over the internet or other electronic medium in which case other conditions may apply in addition to these Terms and Conditions.

## **7. Withdrawal, transfer and termination of your ISA**

### **7.1 Withdrawal**

- (a) You may close or make withdrawals from an Account by giving us written instructions, or instructions by any other method deemed acceptable by us. Faxed or emailed instructions will only be accepted with our prior approval. Subject to Clause 7.4, Shares will be sold at the price calculated on a date stipulated by you or at the next Valuation Point if the date stipulated by you has passed or no date is specified.
- (b) You will normally be required to provide to 7IM a signed renunciation in the form prescribed by or acceptable to 7IM before such proceeds are released. Payment will be made by cheque or bank transfer (CHAPS or BACS), for which there may be a charge. 7IM reserves the right to determine how such payments will be made. 7IM will not issue payments to third parties, save to financial institutions which have the authority to hold Client Money.
- (c) If for whatever reason, payment of these monies has not been issued to you, in line with the settlement terms of the Fund, then these monies will be held by 7IM in a client money account, in accordance with clauses 5.4 and 5.6.
- (d) Amounts invested and withdrawn may not be re-invested and any ISA allowance which is not used in any tax year may not be carried through to any subsequent years.
- (e) 7IM may ask for evidence that the Account is held in your name.

### **7.2 Transfer of your ISA**

- (a) You may instruct us at any time to transfer all or part of your Account to another Account Manager (if it agrees to accept the transfer), with all rights and obligations of the parties to it, provided that all investments made in respect of the current tax year must be transferred to the new Account Manager and you may not make further contributions to the new ISA account until after the transfer has been effected (and then only if you have not reached the subscription limit for the current tax year). You should contact your chosen new Account Manager to effect the transfer and they will then contact us to arrange the transfer of your Account.

- (b) The instructions will take immediate effect on receipt but will not cancel or amend any instructions you have already sent to us. You may stipulate a date by which you would like the transfer to be effected (subject to Clause 7.4, not being less than seven Business Days after we have received your written transfer instruction). Any balances credited to your Account after the transfer will be sent to your new Account Manager unless (i) the balance is less than the minimum your new Account Manager is prepared to accept; or (ii) you instruct us not to transfer the balance to your new Account Manager, in which case we will pay the balance of your Account direct to you.
- (c) In order to effect the transfer we will normally sell the Shares held in your Account at the next available opportunity following receipt of the transfer instruction from your new Account Manager and transfer the proceeds and any uninvested cash in your Account to the new Account Manager within four Business Days following such sale. We also reserve the right in certain circumstances to transfer the Shares held in your Account to your new Account Manager in accordance with their instructions. The timings indicated to transfer your ISA are subject to any particular circumstances which may delay the transfer, including those set out in Clause 7.4 or the failure or delay on the part of your new Account Manager. There is no penalty or charge for transferring your ISA.
- (d) If 7IM anticipates ceasing to be the operator of the Open-Ended Investment Companies held in your Account, 7IM may transfer your Account (and the rights and obligations of the parties to it) to another Account Manager on 30 days' prior notice to you. Such notice will set out the details of the transfer in accordance with the ISA Regulations, FCA Rules and Applicable Law. In order to effect such a transfer, 7IM may sell or transfer the Shares in your Account.

### 7.3 Termination

- (a) You must provide written instruction to 7IM if you want to close your Account after the 14 day cancellation period. Your instructions will take immediate effect on receipt but will not cancel or amend any instructions you have already sent to us. Subject to clause 7.4, 7IM will normally pay to you the value of your Account within four Business Days of receipt of your duly signed and completed form of renunciation or other such authority in a form acceptable to 7IM. There is no penalty or charge for closing your Account and no notice period is required.
- (b) We may, at our reasonable discretion, decide to close your Account by giving you 30 days written notice, unless there are circumstances which justify closing the Account earlier. For example, we may give you written notice to close your Account if it is no longer feasible to continue it because of changes to the ISA Regulations, or 7IM anticipates ceasing to be the operator of the Open-Ended Investment Company held in your Account and it is not feasible to arrange a transfer in accordance with clause 7.2(c), if we become aware that you are a U.S. Person or other ineligible investor, or if you otherwise breach these Terms and Conditions. If we decide to close your Account we may sell the Shares held in your Account following the expiry of the notice and return the proceeds and any uninvested cash in your Account to you. We will not be liable to you for any loss, liability or damage you may suffer if we do close your Account.
- (c) We will notify you if, by reason of any failure to satisfy the provisions of the ISA Regulations, your Account has, or will, become void. Such notice will set out the options available to you.

7.4 If dealing in the Shares of an Open-ended Investment Company held in your Account is suspended, 7IM may extend the periods specified in Clauses 7.1(a), 7.2(b) and 7.3(a) to seven days after which the suspension of dealing in the Open-ended Investment Company ends.

## **8. Taxation**

8.1 You have sole responsibility for the management of your tax affairs including complying with any applicable laws and regulations in relation to taxation.

8.2 We are not tax advisers and we do not provide tax advice. We recommend that you obtain your own independent tax advice, tailored to your particular circumstances. You agree that you will not rely on the information provided by us as a substitute for taking your own independent advice.

8.3 Investments may become part of an individual's estate upon death and therefore subject to Inheritance Tax. If you require further information about the possible impact of Inheritance Tax, please speak to a tax specialist.

### **8.4 In respect of your ISA (if applicable):**

(a) Tax rules may change and it is possible that the current preferential tax treatment for ISAs could be withdrawn or varied at any time.

(b) If you cease to be resident in the UK, your Account will remain Tax Free but you will no longer be able to make further payments into your Account until you are again a UK resident.

## **9. Death of an investor**

9.1 In the event of your death, 7IM will continue to deal with your Investment in accordance with these Terms and Conditions and in accordance with the instructions received from the person appointed or entitled to deal with your estate (the 'representative') and who will become subject to these Terms and Conditions. The representative must provide us with proof of their appointment or entitlement.

9.2 Where appropriate, 7IM will pay the net proceeds of your Investment to your representative or to such person as your representative directs. In the interim, any interest paid into your Account from the date of your death is subject to tax at the basic rate.

9.3 You should note that any tax benefits received as a result of an ISA investment(if you were to die after 6 April 2018) will continue during the period of administration of your estate, until the earlier of:

(a) the completion of the administration of your estate

(b) the closure of the your ISA Account

(c) the third anniversary of your death.

9.4 Any tax refunds claimed on your behalf after you die will be repaid to HMRC. 7IM will provide appropriate statements with regard to the Account and any relevant tax certificate to your representative in accordance with the ISA Regulations.

## **10. Limitation of liability**

10.1 We will use all reasonable care and skill in the set up and management of your Investment.

10.2 We will not be liable to you for any losses or expenses suffered by you as a result of a delay or failure due to circumstances beyond our reasonable control (for example, because of failure of computer systems or telecommunications links or overriding emergency procedures, postal

delays, flood, fire, storm, labour disputes (outside of 7IM and/or our Associates), accident, vandalism, malicious damage, war or terrorism). We will, where possible, take such reasonable steps as we can to resume our service to you as soon as possible following any delay or failure.

- 10.3 Subject to clause 10.6, our liability to you under these Terms and Conditions is limited to direct losses caused by the deliberate or careless mistakes, or fraudulent action of us and/or our Associates.
- 10.4 We will not be liable to you to the extent that we properly rely on information or instructions supplied by you, so long as they reasonably appear to come from you or on your behalf. We are entitled to assume that instructions which claim to come from you are genuine.
- 10.5 You will be responsible for any losses and/or expenses which are the result, and which a reasonable person would consider to be the probable result, of any untrue, misleading, inaccurate or incomplete information deliberately or carelessly given by you, or on your behalf, arising from or in connection with these Terms and Conditions or the transactions contemplated by these Terms and Conditions, except to the extent such losses and/or expenses are determined to have resulted from the deliberate or careless mistakes, or fraudulent actions of 7IM and/or its Associates.
- 10.6 Nothing in these Terms and Conditions shall exclude or limit:
- (a) our liability for death or personal injury resulting from our negligence; or
  - (b) our liability for any losses or expenses suffered by you as a direct result of our deliberate mistakes or fraudulent actions; or
  - (c) any other liability which cannot be excluded or limited by law.

## **11. Statement and notices**

7IM will send you a valuation and transaction report at least twice yearly for each Investment held. For more information please refer to the Prospectus. Copies of the annual and half yearly reports will also be issued. All communications with investors will be in English.

If you deal with us through a professional adviser you permit us to give that professional adviser information about your Investment, unless you instruct us that that professional adviser no longer advises you about your Investment.

Any letter or document from us sent by post will be deemed to have been served on the second Business Day following that in which it is posted and service will be sufficiently proved if there is evidence that the envelope containing the letter or document was properly addressed, stamped and posted.

## **12. Delegation of functions**

- 12.1 Subject to Applicable Law, we may delegate any of our functions or responsibilities under these Terms and Conditions to any person provided that before doing so we satisfy ourselves that such person is competent to carry out those functions and responsibilities.
- 12.2 On giving you at least 30 days' notice, we may appoint an Associate as manager of the Account in our place. In such circumstances, that Associate will manage the Account in accordance with these Terms and Conditions.
- 12.3 You may not assign any of your rights or obligations in relation to your investments.

### **13. Variation/replacement of these Terms and Conditions**

We may, from time to time, make any changes to or replace these Terms and Conditions (including as to charges and fees), where we have valid reason to do so. Where possible, we will give you at least 30 days prior notice of any change or replacement of these Terms and Conditions. In particular, we may vary these Terms and Conditions for the following reasons:

- (a) to take account of changes or anticipated changes to, or to comply better with Applicable Law or the interpretation of those laws, regulatory requirements, industry guidance or codes of practice that we follow, or the way that we are regulated;
- (b) to reflect decisions or recommendations of the Financial Ombudsman Service, a court, the regulator or similar body which is relevant to us or your Investment;
- (c) where reasonably required as a result of changes in market conditions or market practice;
- (d) to rectify errors, inaccuracies or ambiguities; or to take account of any corporate restructuring within the Seven Investment Management LLP group of companies;
- (e) to reflect reasonable alterations in the scope and nature of the services provided to you under these Terms and Conditions or any previous versions thereof resulting from the alterations made to our system capabilities or administration procedures;
- (f) as a result of new services which we may make available to you; or
- (g) to prevent misuse of the service.

If the changes adversely affect your interests, release us from any of our obligations to you, or alter the fundamental basis of your Investment you will be able to terminate this agreement and we will return the proceeds of your investment to you in accordance with clause 7.3(a).

### **14. Conflicts of interest**

14.1 You acknowledge and agree that when we (or our agents or delegates) enter into a transaction for you, we may:

- (a) share charges with our Associates and other third parties, or receive and retain remuneration from them in respect of transactions carried out on your behalf. Details of any such remuneration or sharing arrangements are available to you on request;
- (b) be acting as agent or making arrangements for you on your instructions in relation to transactions in which we are also acting for other customers; or
- (c) be in a position where we have some other material interest in relation to the transaction.

14.2 In accordance with FCA Rules, 7IM has in place arrangements, which may be updated from time to time, to manage conflicts of interest that arise between itself and its clients or between its clients. 7IM will deal with potential conflicts of interest in accordance with its Conflicts of Interests Policy and its Order Execution Policy which provide that it will identify and manage conflicts of interest to ensure fair treatment of all clients and ensure that it acts in the client's best interests. If it is not possible to prevent or manage a potential conflict of interest to ensure with reasonable confidence, that risks of damage to a clients' interests will be prevented, then, 7IM may seek to disclose the general nature and/or sources of conflict to you before

undertaking business for you. Details of our Conflicts of Interest Policy and Execution Policy are available on our website at [www.7im.co.uk](http://www.7im.co.uk). If you have any questions regarding the policy please contact us or your professional adviser.

## 15. Data protection

15.1 7IM will use personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679). You can find more information on our use of your personal data in our Privacy Notice, including information on how we may use and retain your personal data, why we may transfer your personal data, the data protection measures we take and your data protection rights. Details of how we use cookies on our websites can also be found in our Cookies Policy at <https://www.7im.co.uk/7IM-Cookie-Policy>.

16. **You acknowledge that** you will provide further information regarding your identity and tax residency and status upon request from 7IM at any time (including after your account is closed). This further information may include information regarding the identity and tax residency of individuals associated with you where you are not an individual. You acknowledge that 7IM may disclose your personal details, this information and other personal and account data to HMRC or any other relevant tax authority to allow it to comply with legal obligations it has to report details of your account, and to otherwise cooperate with formal requests from the tax authority(ies). HMRC may in turn disclose these details to authorities in the United States and/or other overseas jurisdictions under the terms of agreements the UK has with the US and other overseas authorities. You agree to promptly inform us of any changes or updates in information provided to us (including any personal data) **Contact details**

16.1 You can contact our customer services department by telephoning 0333 300 0354 (lines are open 9:00 am to 5:30 pm Monday to Friday) or by writing to:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon SN4 4BG  
Email: [7IMinvestorservices@ntrs.com](mailto:7IMinvestorservices@ntrs.com).

16.2 Telephone calls may be recorded by 7IM, its delegates, duly appointed agents and, or any of their respective related, associated or affiliated companies for record keeping, security, training purposes and/or to help continually improve our services. Any such recordings remain our sole property.

16.3 Recordings will be provided on request for a period of at least five years from the date of such recording, or, where requested by a competent regulatory authority, for a period of seven years, where we can identify the call coming from you. If you ask us to send you a recording of a particular call, we may ask for further information to help us identify the exact call to which your request relates.

16.4 The use of e-mail is not considered a secure medium for the transmission of personal data. We therefore strongly recommend that you do not communicate any sensitive information via this medium. Should you choose to do so, you accept that you do so at your own risk and that 7IM will not be liable for the consequences.

## 17. Contracts (Rights of Third Parties) Act 1999

Except as specifically provided in these Terms and Conditions, nothing in these Terms and Conditions shall confer or is intended to confer on any third party any benefit or the right to enforce any terms contained herein under the Contracts (Rights of Third Parties) Act 1999.

## 18. General

- (a) If any provision of these Terms and Conditions is held invalid, illegal or unenforceable for any reason, such provision shall be severed and the remainder of the provisions in these Terms and Conditions shall continue in full force and effect with the invalid provision eliminated.
- (b) English Law will apply to these Terms and Conditions. The English courts will have exclusive jurisdiction in relation to these Terms and Conditions.

**19. Savings directive (not applicable to an ISA)**

For investors who are resident in another European Union member state for tax purposes, if certain conditions apply, information regarding your investment and any interest paid may be passed to HMRC in order to be passed to other tax authorities.

**For further information please see the Prospectus.**

# ACCOUNT OPENING FORM

## SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form if you are a private individual and want to buy 7IM Funds for yourself or jointly with another private individual. If you want to hold the investments in an ISA please use the relevant form.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice).**

PLEASE COMPLETE ALL SECTIONS IN CAPITALS.  
SECTIONS MARKED WITH AN \* ARE MANDATORY.

### Section 1 – Applicant(s)

#### (Applicant One)

Title

Forename(s)\*

Surname\*

Permanent Residential Address\*

Postcode\*

Daytime Telephone Number\*

Email Address\*

Nationality\*

Town and Country of Residence\*

Town and Country of Birth\*

Date of Birth\* (DD/MM/YYYY)   /   /

#### (Applicant Two, if opening a joint account)

Title

Forename(s)\*

Surname\*

Permanent Residential Address\*

Postcode\*

Daytime Telephone Number\*

Email Address\*

Nationality\*

Town and Country of Residence\*

Town and Country of Birth\*

Date of Birth\* (DD/MM/YYYY)   /   /

If you are buying funds in the name of a child under 18 or would like the account to be designated, please show this here

(Maximum 15 characters)



## Section 2 – Tax Residence

### (Applicant One)

Tax Regulations\* require us to collect information about each account holder's tax residency. 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 HMRC who may in turn share this information with other taxation authorities in other jurisdictions. Should any information provided change in the future, please ensure you advise us of the changes immediately. Please provide your details below, including a list of all countries in which you are resident for tax purposes and the associated Tax Reference Numbers. If you are a US citizen or US resident for tax purposes, please include United States in the table along with your US Tax Identification Number, and also complete and provide to us a W-9 Form available from [www.irs.com](http://www.irs.com).

\* The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

Further information about the automatic exchange of information can be found in the frequently asked questions section of our website [www.7im.co.uk](http://www.7im.co.uk).

Please list below all countries in which you are resident for tax purposes and the associated Tax Reference.

Country/ Countries of Tax Residence	Tax Reference Number/ National Insurance Number
1 <sup>st</sup> Country	
2 <sup>nd</sup> Country (if applicable)	
3 <sup>rd</sup> Country (if applicable)	
4 <sup>th</sup> Country (if applicable)	

If you are not resident in any country for tax purposes,

please tick this box:

If a Tax Reference Number is not available please select one of the following reasons:

- The country where I am liable to pay tax does not issue Tax Reference Numbers to its residents.
- No Tax Reference Number is required (note, only select this reason if the authorities of the country of tax residence entered below do not require the Tax Reference Number to be disclosed).
- The account holder is otherwise unable to obtain a Tax Reference Number or equivalent number. Please explain why you are unable to obtain a Tax Reference Number in the box below.

### (Applicant Two)

Please list below all countries in which you are resident for tax purposes and the associated Tax Reference.

Country/ Countries of Tax Residence	Tax Reference Number/ National Insurance Number
1 <sup>st</sup> Country	
2 <sup>nd</sup> Country (if applicable)	
3 <sup>rd</sup> Country (if applicable)	
4 <sup>th</sup> Country (if applicable)	

If you are not resident in any country for tax purposes,

please tick this box:

If a Tax Reference Number is not available please select one of the following reasons:

- The country where I am liable to pay tax does not issue Tax Reference Numbers to its residents.
- No Tax Reference Number is required (note, only select this reason if the authorities of the country of tax residence entered below do not require the Tax Reference Number to be disclosed).
- The account holder is otherwise unable to obtain a Tax Reference Number or equivalent number. Please explain why you are unable to obtain a Tax Reference Number in the box below.

## Section 3 – Security Questions

If you call us we will need to identify you. Please show here a security question we should use to identify you and the answer, which should only be known to you.

### (Applicant One)

Question one

Answer one

### (Applicant Two)

Question one

Answer one

## Section 4 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are several different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

Share classes A & O – minimum lump sum investment £500,000

Share classes C & D – minimum lump sum investment £1,000.

### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

## Section 5 – Paying for your First Investment

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

## Section 6 – Income Payments

Income payments are not available for Accumulation shares.

If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

       

Building Society Roll Number

## Section 7 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

Advice has been given in relation to this investment (please tick)

**Adviser / Agent Stamp and Authorisation Number**

## Section 8 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply **ONE** document from **EACH** of the columns.

Please tick the box for each of the documents you are enclosing. ALL documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

## (Applicant One)

### Personal Identification – one of the following:

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

### Address Verification – one of the following:

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

#### Notes:

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

## (Applicant Two)

### Personal Identification – one of the following:

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

### Address Verification – one of the following:

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence

- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

#### Notes:

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

## Section 9 – Declaration and Self Certification

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulation.

I confirm that I have read the Key Investor Information Document(s) (KIID) relevant to my investment choice.

### Signature of Applicant One

Applicant One Signature\*

Name\*

Date\*

### Signature of Applicant Two

Applicant Two Signature\*

Name\*

Date\*

If you have any questions please call **0333 300 0354** or email **7IInvestorservices@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

# DIRECT DEBIT APPLICATION FORM



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

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice)**

PLEASE FILL IN THE WHOLE FORM INCLUDING OFFICIAL  
USE BOX USING A BALL POINT PEN AND SEND IT TO:

**Seven Investment Management LLP**  
**PO Box 3733**  
**Royal Wootton Bassett**  
**Swindon, SN4 4BG**

Service User Number

2	9	0	9	3	1
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FOR SEVEN INVESTMENT MANAGEMENT LLP OFFICIAL USE ONLY  
This is not part of the instruction to your bank or building society.

Name(s) of Account Holder(s)


Bank/Building Society Account No

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Branch Sort Code 

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 / 

--	--	--

 / 

--	--	--

Name and full postal address of your bank or building society

To: The Manager – Bank/Building Society

--

Address

--

--

County

--

Postcode

--

Reference

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

### Instruction to your bank or building society

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

### Signature(s)

--

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Date (DD/MM/YYYY) 

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



This guarantee should be detached and retained by the payer.

## The Direct Debit Guarantee

- The Guarantee is offered by all banks and building societies that accept instruction to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Seven Investment Management will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Seven Investment Management LLP to collect a payment, confirmation of the amount and date will be given to you at the time of the request.

- If an error is made in the payment of your Direct Debit, by Seven Investment Management or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society – If you receive a refund you are not entitled to, you must pay it back when Seven Investment Management asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.



# ISA APPLICATION ACCOUNT OPENING FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form if you are a private individual and want to buy 7IM Funds for yourself and want to hold the investments in an ISA. If you want to hold the investments in a General Investment Account please use the relevant form.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice).**

**PLEASE COMPLETE ALL SECTIONS IN CAPITALS. SECTIONS MARKED WITH AN \* ARE MANDATORY.**

## Section 1 – Applicant

Title

Forename(s)\*

Surname\*

Permanent Residential Address\*

Postcode\*

Daytime Telephone Number\*

Email Address\*

Nationality\*

Town and Country of Residence\*

Town and Country of Birth\*

Date of Birth\* (DD/MM/YYYY)   /   /

## Section 2 – Tax Residence

Tax Regulations\* require us to collect information about each account holder's tax residency. 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 HMRC who may in turn share this information with other taxation authorities in other jurisdictions. Should any information provided change in the future, please ensure you advise us of the changes immediately. Please provide your details below, including a list of all countries in which you are resident for tax purposes and the associated Tax Reference Numbers. If you are a US citizen or US resident for tax purposes, please include United States in the table along with your US Tax Identification Number, and also complete and provide to us a W-9 Form available from [www.irs.com](http://www.irs.com).

\* The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

Further information about the automatic exchange of information can be found in the frequently asked questions section of our website [www.7im.co.uk](http://www.7im.co.uk).

Please list below all countries in which you are resident for tax purposes and the associated Tax Reference.\*

Country/ Countries of Tax Residence	Tax Reference Number/ National Insurance Number
1 <sup>st</sup> Country	<input type="text"/>
2 <sup>nd</sup> Country (if applicable)	<input type="text"/>
3 <sup>rd</sup> Country (if applicable)	<input type="text"/>
4 <sup>th</sup> Country (if applicable)	<input type="text"/>

If you are not resident in any country for tax purposes, please tick this box:

If a Tax Reference Number is not available please select one of the following reasons:

- The country where I am liable to pay tax does not issue Tax Reference Numbers to its residents.
- No Tax Reference Number is required (note, only select this reason if the authorities of the country of tax residence entered below do not require the Tax Reference Number to be disclosed).
- The account holder is otherwise unable to obtain a Tax Reference Number or equivalent number. Please explain why you are unable to obtain a Tax Reference Number in the box below.

### Section 3 – Security Question

If you call us we will need to identify you. Please show here a security question we should use to identify you and the answer, which should only be known to you.

Question

Answer

### Section 4 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are two different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount of £1,000 but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

ISAs are subject to regulatory limitations; please check the HM Revenue & Customs website for details at [www.hmrc.gov.uk/isa](http://www.hmrc.gov.uk/isa)

#### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

#### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

### Section 5 – Paying for your First Investments

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

### Section 6 – Income Payments

Income payments are not available for Accumulation shares.

If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

Building Society Roll Number

### Section 7 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

Advice has been given in relation to this investment (please tick)

### Section 8 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply **ONE** document from **EACH** of the columns.

Please tick the box for each of the documents you are enclosing. ALL documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

**Personal Identification – one of the following:**

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

**Address Verification – one of the following:**

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

**Notes:**

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

### Section 9 – Declaration and Self Certification

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

**ISA Declaration**

I apply to subscribe for a Stocks & Shares ISA for the tax year

20   to 20   and each subsequent year until further notice.

**I declare that:**

- All subscriptions made, and to be made, belong to me;
- I am 18 years of age or over;
- I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, and an innovative finance ISA in the same tax year;
- I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA, and
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pension) Act 2003, (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform 7IM if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

**I authorise 7IM:**

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

**NB: You must complete all relevant sections of this form, otherwise it will not constitute a valid ISA subscription.**

**Signature**

Signature

---

Name

---

Date

If you have any questions please call **0333 300 0354** or email **7IMinvestorservices@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

# ISA TRANSFER INSTRUCTION FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

To transfer your existing Stocks and Shares ISA to invest in the Seven Investment Management Funds.  
**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice).**

## Information for the current ISA holder

Please complete **ALL** sections, **except Section 6 – ISA Manager** and send this form to:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Do **not** send it to your current ISA manager; we will contact your current manager and arrange the ISA transfer for you.

Please note that:

- You need to use a new ISA Transfer Instruction form for each existing ISA that you wish to transfer
- You can only use this form to transfer a stocks and shares ISA
- If you wish to subscribe to this ISA in the current tax year you should also complete an ISA Subscription Form.

## Information for the current ISA Manager

Please complete all sections of the form in **Section 6 on page 3** and once complete return this form to us together with the proceeds cheque made payable to Seven Investment Management and send to:

Seven Investment Management LLP  
PO Box 3733,  
Royal Wootton Bassett,  
Swindon, SN4 4BG

**ISA Holder – please complete Sections 1 to 5 in CAPITALS**

## Section 1 – Applicant

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Daytime Telephone Number

Email Address

Nationality

Town and Country of Residence

Town and Country of Birth

Date of Birth (DD/MM/YYYY)

National Insurance Number

(If you do not have a National Insurance Number please tick this box)

## Section 2 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial adviser. There are two different share classes available for each fund, as well as Income and accumulation units. Each share class has a minimum lump sum investment amount of £1,000 but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but accumulation units reinvest the dividend and give you additional units instead. Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

ISAs are subject to regulatory limitations; please check the HM Revenue & Customs website for details at [www.hmrc.gov.uk/isa](http://www.hmrc.gov.uk/isa)

### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)



## Section 3 – Income Payments

Income payments are not available for Accumulation shares.  
If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

Building Society Roll Number

## Section 4 – Investment Advice and Adviser / Agent Details

Please indicate below whether you have received advice from a financial adviser on this investment and provide their details:

I have received advice from a financial adviser Yes  No

Company

Address

Postcode

### To be completed by your financial adviser

FCA Number

Contact Name

Telephone Number

Email

(Please remember to include an Identity Verification Certificate)

### Your current ISA Manager details

Company Name

Address

ISA Name and Reference Number

ISA year(s) you wish to transfer –e.g. 2001 or ALL

### Instructions to your current ISA Manager

I authorise you to redeem the ISA(s) quoted and send the proceeds of each to Seven Investment Management LLP. Please forward any outstanding dividends and tax credits when received.

I also authorise you to provide Seven Investment Management LLP with any information (written or non-written) about the ISA(s) and to accept any instructions from them relating to the ISA(s) to be transferred.

### ISA Holder's Signature

Signature

Name

Date

You must also sign after the ISA declaration (page 4).

## Section 5 – Declaration and Self Certification

### I confirm that:

- I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

### ISA Declaration

#### I declare that:

- All subscriptions made, and to be made, belong to me;
- I am 18 years of age or over;
- I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, and an innovative finance ISA in the same tax year;
- I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA, and
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pension) act 2003, (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform 7IM if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

### I authorise 7IM:

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

**NB: You must complete all relevant sections of this form, otherwise it will not constitute a valid ISA subscription.**

**Documents for verification of your identity**

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial adviser, please note that you must supply **ONE** document from **EACH** of the columns. Please tick the box for each of the documents you are enclosing. **ALL** documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

**Personal Identification – one of the following:**

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

**Address Verification – one of the following:**

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

**Notes:**

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

**Please now send the form to us.** We will then send it on to your existing ISA Manager and request the transfer.

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

**Section 6 – ISA Manager**

**To be completed and returned by the current ISA Manager:**

Name

Date of Birth (DD/MM/YYYY)   /   /

National Insurance Number

ISA Account Number

For Cash ISAs, please provide sort code for branch where account is held:

**Please tick on box only.**

I wish to transfer the ISA accounts shown as follows:

A FULL transfer as below:

- Re-register all holdings and send any residual cash
- Cash transfer (sell holdings if required)
- Combination of stock and cash as specified below
- A PARTIAL transfer of stock and/or cash (please specify cash amount or stocks below)

**ISA Holder's Signature**

Signature
Name
Date

Total Amount Subscribed in Current Tax Year £

Current Year Subscriptions to Stocks and Shares ISA are being transferred

Yes  No

Only previous years subscriptions are being transferred

Date of first subscription in current tax year

, ,

Total Amount Transferred £

### ISA Declaration

#### I declare that:

- I have fulfilled all the obligations imposed on me by the ISA Regulations.
- I have transferred to you or your nominee any ISA investments that are being transferred by virtue of the transfer of this ISA and, if appropriate, have take the necessary steps to ensure that the ISA investments can be registered in your name or the name of your nominee;
- The information supplied with this notice is correct.

#### Signature

Signature

Name

Date

#### For and on behalf of

If you have any questions please call **0333 300 0354** or email **7IInvestorservices@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

# NON INDIVIDUALS APPLICATION FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form if you are a non-individual (Trust, Charity, Corporation, SIPP provider, etc.) and want to buy 7IM Funds. If you want to hold the investments as an individual, or in an ISA please use the relevant form.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice)**

**PLEASE COMPLETE ALL SECTIONS IN CAPITALS**

## Section 1 – Applicant

Company / Trust Name

Company / Charity Number

Registered Address



Postcode

Daytime Telephone Number

Contact Name(s)



Email Address



Regulatory Body and Regulatory Reference Number if Applicable



Account Designation if Applicable (maximum 15 characters)

## Section 2 – Security Questions

If you call us we will need to identify the persons named in the Contact Names section. Please show here a security question we should use to identify each of them and the answer, which should only be known to them.

**SEVEN**   
Investment Management

Question One

Answer One

Question Two

Answer Two

## Section 3 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are several different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

Share classes A & O – minimum lump sum investment £500,000

Share classes C & D – minimum lump sum investment £1,000.

### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

## Section 4 – Paying for your First Investment

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

## Section 5 – Income Payments

Income payments are not available for Accumulation shares. If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code  /  /

Account Name

Account Number

Building Society Roll Number

## Section 6 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

## Adviser / Agent Stamp and Authorisation Number

## Section 7 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply one of each type of document.

Please tick the box for each of the documents you are enclosing. Where the list indicates that certified copies are required, certification should be carried out by a solicitor/lawyer or authorised financial intermediary.

### Companies

- Certified Certificate of Incorporation
- Certified authorised signatory list
- Confirmation of business address (if different to the registered address)
- Confirmation of all directors
- Confirmation of any shareholders with 25% or greater interest or confirm N/A, signed by the Company Secretary

### Charities

- Confirmation of correspondence address if different to registered address
- Copies of the governing documents i.e. Trust Deed, Constitution Charter or equivalent
- Confirmation of the nature of the charity's activities and objectives
- Contact details
- Name, address and date of birth for the Company Secretary (Incorporated charities only)
- Name, address and date of birth for the instructing trustees e.g. those who signed the application (Unincorporated Charities only)
- Copy documentation evidencing the identity and residential address of the Company Secretary (Incorporated Charities only)
- Copy documentation evidencing the identity and residential address of ALL instructing trustees (Unincorporated Charities only)
- Names of ALL trustees signed by one of the instructing trustees (Unincorporated Charities only)

We reserve the right to request further evidence considered necessary to comply with all anti-money laundering regulations and requirements.

## Section 8 – Tax Regulations

Tax Regulations<sup>1</sup> require the collection of certain information about each account holder's tax residency and tax classifications. Please complete all sections below as directed. 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 HMRC or other relevant tax authorities, who may in turn share this information with other taxation authorities in other jurisdictions.

If you have any questions about how to complete this form, please contact your tax advisor. Please see notes for key definitions. Should any information provided change in future, please ensure that you advise us immediately of the changes.

### Tax residency

(If your organisation has more than one tax residency please complete another sheet for each country.)

The country in which your organisation is resident for tax purposes

Your organisation's Tax Reference number

If the organisation is not a Specified Person<sup>2</sup> in the country stated above, please tick this box

Your organisation's classification under applicable Tax Regulations<sup>1</sup>

Please tick **one** box below

- UK Financial Institution or a Partner Jurisdiction Financial Institution<sup>3</sup>
- Participating Foreign Financial Institution<sup>3</sup>
- Non-Participating Foreign Financial Institution<sup>3</sup>
- Financial Institution resident in the USA or in a US Territory<sup>3</sup> (regrettably, if selected we cannot open or maintain an account for your entity)
- Deemed Compliant Foreign Financial Institution<sup>3</sup> (besides those listed above)
- Exempt Beneficial Owner<sup>4</sup>
- Active Non-Financial Entity<sup>5</sup>
- Passive Non-Financial Entity<sup>6</sup>

If your entity is a Passive Non-Financial Entity, a Self Certification will be required for each of your entity's Controlling Persons.<sup>7</sup>

These may be provided by:

- (a) the Controlling Person completing an Individual Controlling Person Self Certification Form available from [71Minvestorservices@ntrs.com](mailto:71Minvestorservices@ntrs.com); and/or
- (b) your entity on behalf of Controlling Persons by completing the Entity Controlling Persons Self Certification Form available from [71Minvestorservices@ntrs.com](mailto:71Minvestorservices@ntrs.com).

Please tick this box if your entity has already completed the an Entity Controlling Person Self Certification Form on behalf of all of your Controlling Persons and their details provided to us have changed.

If your organisation is a financial institution please tick here if it is an Investment Entity.

### Notes:

#### <sup>1</sup> Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

#### <sup>2</sup> Specified Person

The term "Specified Person" is defined by reference to local laws in the country where an entity is established. In the UK, a "Specified United Kingdom Person" means a person or entity who is resident in the United Kingdom for tax purposes, other than:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a Related Entity<sup>8</sup> of a corporation described in clause (i);
- (iii) a Depository Institution;
- (iv) a broker or dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom;
- (v) a Governmental Entity;
- (vi) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- (vii) a Central Bank; or
- (viii) a pension scheme or other arrangement registered with HMRC under Part 4 of the Finance Act 2004.

Similar definitions apply to entities in the US (defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK). Entities in other jurisdictions should instead apply the similar definition of "Reportable Person" under the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

#### <sup>3</sup> Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK's Agreements to Improve International Tax Compliance.

Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

#### <sup>4</sup> Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- (i) a Governmental Entity;
- (ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- (iii) a Central Bank; or
- (iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

### <sup>5</sup> Active Non-Financial Entity (NFE)

A NFE is any entity that is not a Financial Institution.

An Active NFE is any NFE that meets one of the following criteria:

- (i) Less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (ii) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity<sup>8</sup> of an entity, the stock of which is traded on an established securities market;
- (iii) The NFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
- (iv) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFE;
- (v) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- (vi) The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- (vii) The NFE primarily engages in financing and hedging transactions with, or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- (viii) The entity is a Non-Profit Organisation. The term "Non-Profit Organisation" means an entity that meets ALL of the following criteria:
  - (a) It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
  - (b) It is exempt from income tax in its country of residence;
  - (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - (d) The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and

- (e) The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

### <sup>6</sup> Passive Non-Financial Entity (NFE)

A Passive NFE is any NFE that is not an Active NFE.

### <sup>7</sup> Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

### <sup>8</sup> Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote and value in an entity.

## Section 9 – Declaration and Self Certification

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations.

I confirm that I have read the Key Investor Information Document(s) (KIID) relevant to my investment choice.

#### Signature

Signature

Name

Date

#### Signature

Signature

Name

Date

If you have any questions please call **0333 300 0354** or email **7IInvestorservices@ntrs.com**

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# ADDITIONAL PERMITTED SUBSCRIPTION (APS) ALLOWANCE APPLICATION FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form if you are a private individual who wishes to utilise your APS allowance.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice).**

PLEASE COMPLETE ALL SECTIONS IN CAPITALS

## Section 1 – Investor Details

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Daytime Telephone Number

Email Address

Nationality

Town and Country of Residence

Town and Country of Birth

Date of Birth (DD/MM/YYYY)   /   /

National Insurance (NI) Number

  /       / 

## Section 2 – Details of the Deceased

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Daytime Telephone Number

Email Address

Nationality

Town and Country of Residence

Town and Country of Birth

Date of Birth (DD/MM/YYYY)   /   /

National Insurance (NI) Number

  /       / 

Date of Death (DD/MM/YYYY)   /   /

Date of Marriage or Civil Partnership between the Investor and the Deceased

(DD/MM/YYYY)   /   /

Deceased existing ISA account number(s)

Please note, if multiple ISAs were held by the deceased with an ISA manager their value will be combined to form one APS allowance.

If an existing ISA account number above relates to an ISA where 7IM is not the ISA manager, you will need to complete a Transfer Authority Form (APS) to transfer subscriptions to 7IM. Only APS' made to the ISA manager who held the deceased's ISA at the date of their death may be transferred to 7IM.



## Section 3 – APS Allowance Subscription Information

I (the investor) wish to subscribe £  from my APS allowance in respect of the deceased and wish to make my subscription to a Stocks & Shares ISA: (please tick one)

In cash  In specie

(By transferring ISA investments for APS allowance that have not been transferred.)

**Please be aware that once a subscription to an APS allowance has been made, any future subscriptions in respect of this APS allowance MUST be made to 7IM and be accompanied by an Additional Permitted Subscription (APS) Eligibility Declaration Form.**

## Section 4 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are two different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount of £1,000 but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

## Section 5 – Paying for your Investments

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

## Section 6 – Income Payments

Income payments are not available for Accumulation shares.

If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

Building Society Roll Number

## Section 7 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

Advice has been given in relation to this investment (please tick)

**Adviser / Agent Stamp and Authorisation Number**

## Section 8 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply **ONE** document from **EACH** of the columns.

Please tick the box for each of the documents you are enclosing. ALL documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

**Personal Identification – one of the following:**

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

**Address Verification – one of the following:**

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

**Notes:**

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

**Section 9 – APS Eligibility Declaration**

I (the investor) declare that:

- I am the surviving spouse / civil partner of the deceased
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down)
- the subscription is made under the provisions of regulation 5DDA of the ISA regulations (Additional Permitted Subscription)
- the subscription is being made
  - in the case of 'in specie' subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, whichever is the later), and
  - in the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).

If you have any questions please call **0333 300 0354** or email **7IMinvestorservices@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

- I am aged 18 years of age or over and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income tax (Earnings & Pension) Act 2003, (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform 7IM if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

- all subscriptions made, and to be made, belong to me

**I authorise 7IM:**

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

**Section 10 – Signature and Declaration**

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations\*.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

Signature	
Signature	
Name	
Date	

\*The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

# ADDITIONAL PERMITTED SUBSCRIPTION (APS) ELIGIBILITY DECLARATION FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form if you are a private individual who wishes to make additional subscriptions to your APS allowance.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice)**

PLEASE COMPLETE ALL SECTIONS IN CAPITALS

## Section 1 – Investor Details

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Account Number

## Section 2 – Details of the Deceased

Title

Forename(s)

Surname

## Section 3 – APS Allowance Subscription Information

I (the investor) wish to subscribe £  from my APS allowance in respect of the deceased and wish to make my subscription to a **Stocks & Shares** ISA: (please tick one)

In cash

In specie

## Section 4 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are two different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount of £1,000 but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

## Section 5 – Paying for your Investments

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

## Section 6 – Income Payments

Income payments are not available for Accumulation shares.  
If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code  /  /

Account Name

Account Number

Building Society Roll Number

## Section 7 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

Advice has been given in relation to this investment (please tick)

**Adviser / Agent Stamp and Authorisation Number**

## Section 8 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply **ONE** document from **EACH** of the columns.

Please tick the box for each of the documents you are enclosing. ALL documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

### Personal Identification – one of the following:

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

### Address Verification – one of the following:

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

### Notes:

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

## Section 9 – APS Eligibility Declaration

I (the investor) declare that:

- I am the surviving spouse / civil partner of the deceased
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down)
- the subscription is made under the provisions of regulation 5DDA of the ISA regulations (Additional Permitted Subscription)
- the subscription is being made
  - in the case of 'in specie' subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, whichever is the later), and
  - in the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).
- I am aged 18 years of age or over and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income tax (Earnings & Pension) Act 2003, (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform 7IM if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- all subscriptions made, and to be made, belong to me

### I authorise 7IM:

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

## Section 10 – Signature and Declaration

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations\*.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

### Signature

Signature

Name

Date

\*The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

If you have any questions please call **0333 300 0354** or email **7IMinvestorservices@ntrs.com**

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# ADDITIONAL PERMITTED SUBSCRIPTION (APS) TRANSFER AUTHORITY FORM SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

You can use this form to transfer any Additional Permitted Subscription to 7IM. **Please be aware that an APS allowance can only be transferred once and only where no subscriptions have been made under that APS allowance. Once transferred, subscriptions may only be made in cash.**  
**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice).**

Please complete all sections in CAPITALS

## Section 1 – Investor Details

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Daytime Telephone Number

Email Address

Nationality

Town and Country of Residence

Town and Country of Birth

Date of Birth (DD/MM/YYYY)

National Insurance (NI) Number

## Section 2 – Details of the Deceased

Title

Forename(s)

Surname

Permanent Residential Address

Postcode

Daytime Telephone Number

Email Address

Nationality

Town and Country of Residence

Town and Country of Birth

Date of Birth (DD/MM/YYYY)

National Insurance (NI) Number

Date of Death (DD/MM/YYYY)

Date of Marriage or Civil Partnership between the Investor and the Deceased (DD/MM/YYYY)

Deceased existing ISA account number(s)

Please note, if multiple ISAs were held by the deceased with an ISA manager their value will be combined to form one APS allowance.

### Section 3 – Choosing your Investments

Please make sure you read the Prospectus and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are two different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount of £1,000 but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

#### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

#### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

### Section 4 – Income Payments

Income payments are not available for Accumulation shares. If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically invested.

Bank/Building Society

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

Building Society Roll Number

### Section 5 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Company Name

FCA Number

Address

Telephone Number

Email

Advice has been given in relation to this investment (please tick)

#### Adviser / Agent Stamp and Authorisation Number

### Section 6 – Anti Money Laundering

In the UK there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations. If you are applying as a private individual and are not investing through a Financial Adviser, please note that you must supply **ONE** document from **EACH** of the columns.

Please tick the box for each of the documents you are enclosing. ALL documents must be originals or certified as true copies. Copies can be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage adviser, accountant, serving police or customs officer or a member of the judiciary.

#### Personal Identification – one of the following:

- Copy of valid passport
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of valid Firearms Certificate or Shotgun licence
- Copy of valid disabled person's blue badge

#### Address Verification – one of the following, continued overleaf:

- Copy of valid old style (paper) driving licence
- Copy of current year evidence of entitlement to state or local authority funded benefit e.g. housing, council tax etc
- Copy of current year HMRC Correspondence
- Copy of NHS Medical Card
- Copy of a bank account credit card statement dated within the last three months
- Copy of valid photocard driving licence and paper counterpart (where this is still issued)
- Copy of utility bill dated within the last three months
- Copy of a current year statement from a Regulated Financial Services firm
- Copy of a current year mortgage statement

**Notes:**

- The same document cannot be used for both identity and proof of address
- Current year denotes a document which is less than 12 months old when received by ourselves
- Documents printed off the internet are **NOT** acceptable

## Section 7 – APS Eligibility Declaration

**I (the investor) declare that:**

- I am the surviving spouse / civil partner of the deceased
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased’s death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down)
- the subscription is made under the provisions of regulation 5DDA of the ISA regulations (Additional Permitted Subscription)
- the subscription is being made
  - in the case of ‘in specie’ subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, whichever is the later), and
  - in the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning on 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).
- I am aged 18 years of age or over and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income tax (Earnings & Pension) Act 2003, (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform 7IM if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- all subscriptions made, and to be made, belong to me

**I authorise 7IM:**

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

## Section 8 – Signature and Declaration

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of “U.S. person” under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a “Non-United States person” as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations\*.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

<b>Signature</b>	
<input type="text"/>	
Signature	<input type="text"/>
Name	<input type="text"/>
Date	<input type="text"/>

\*The term “Tax Regulations” refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK’s obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK’s obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

“FATCA” is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

**Please do not complete section 9. Send this form to:  
Seven Investment Management LLP  
PO Box 3733  
Royal Wotton Bassett  
Swindon, SN4 4BG**

Do **not** send it to your current ISA manager; we will contact your current ISA manager and arrange the transfer for you.

## Section 9 – ISA Manager

**To be completed and returned by the current ISA Manager**

Name of deceased’s ISA Manager

Address of deceased’s ISA Manager

Postcode

## 7IM Transfer Acceptance

**Seven Investment Management LLP is willing to accept this APS allowance transfer in line with the investors instructions above. We confirm that, subject to relevant checks, we are willing to accept an additional permitted subscription application from the investor.**

If you have any questions please call **0333 300 0354** or email **7IMinvestorservices@ntrs.com**



# TOP UP FORM

## SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form to make additional investments in 7IM Funds.

**Applications are made on the terms set out in the Terms and Conditions (including the Privacy Notice)**

**PLEASE COMPLETE ALL SECTIONS IN CAPITALS**

### Section 1 – Registered Account Holder(s)

Registered Account Name

Registered Account Number

Is this an ISA account? Please note if you have not made an ISA subscription in the current / previous tax year, you will need to complete an ISA application form.

Yes  No

Permanent Residents Address

Postcode

Daytime Telephone Number

Email Address

Registered Account Name (joint holder, if applicable)

### Section 2 – Choosing your Investments

Please make sure you read the Prospectus and KIID to help you decide which fund to invest in – or take advice from a Financial Adviser.

There are several different share classes available for each fund, as well as Income and Accumulation units. Each share class has a minimum lump sum investment amount but only the C & D share classes allow for a £100 per month minimum regular savings amount.

Income units pay out dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Please make sure you choose carefully and indicate which share class, type of unit and amount you wish to invest.

Share Classes A & O – minimum lump sum investment £500,000\*

Share Classes C & D – minimum lump sum investment £1,000.

\* A & O Share Classes are not available for ISA accounts.

ISAs are subject to regulatory limitations; please check the HM Revenue & Customs website for details at [www.hmrc.gov.uk/isa](http://www.hmrc.gov.uk/isa)

#### Lump Sum Investment

Fund Name	Share Class	INC	ACC	Value (£)

#### Regular Investment

Fund Name	Share Class	INC	ACC	Value (£)

Now please ensure you also complete a Direct Debit form to begin any monthly investments. Direct Debits will commence on the 6<sup>th</sup> of the month and investment will take place on the following valuation day. No interest is payable on cash awaiting investment.

### Section 2 – Paying for your Investments

You can send a cheque payable to Seven Investment Management to this address:

Seven Investment Management LLP  
PO Box 3733  
Royal Wootton Bassett  
Swindon, SN4 4BG

Or you can send money by bank transfer to:

Royal Bank of Scotland PLC  
Account Name: Seven Investment Management LLP Client Money Account  
Account Sort Code: 16-04-00  
Account Number: 31346004  
SWIFT BIC Code: RBOSGB2L  
IBAN: GB18RBOS16040031346004

## Section 4 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Adviser Name

Address

Telephone Number

Mobile Number

Fax Number

Advice has been given in relation to this investment

### Adviser / Agent Stamp and Authorisation Number

## Section 5 – Declaration and Self Certification

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I certify that I am not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application or any information contained within it is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to Tax Regulations\*.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

### Signature of Registered Account Holder

Signature

Name

Date

### Signature of Second Registered Account Holder (if joint account)

Signature

Name

Date

\*The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA and various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the regulations and framework implementing the UK's obligations under the European Union (EU) Revised Directive on Administrative Cooperation (Council Directive 2014/107/EU) (the DAC) to improve international tax compliance, and the UK's obligations under Competent Authority Agreements with non-EU jurisdictions for the Common Reporting Standard (the CRS).

"FATCA" is the Foreign Account Tax Compliance Act, the provisions of which are contained in the US Hiring Incentives to Restore Employment (HIRE) Act 2010.

If you have any questions please call **0333 300 0354** or email **7IMinvestorservices@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

# 7IM Funds

## Privacy Notice

**7IM Investment Funds, 7IM Specialist Funds and 7IM Opportunity Funds**  
(referred to in this document as the “7IM UK Funds”).

**7IM (Dublin) Funds plc**  
(referred to in this document as the “7IM Dublin Funds”).

Each of the above may be referred to as the “Fund” or together as the “Funds”.

### Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the “Data Protection Legislation”).

In this document, “we”, “us” and “our” refer to the Fund and Seven Investment Management LLP and its affiliates and delegates.

### Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content. You may be an investor in one or more Funds.

### Your personal data

By virtue of making an investment in one or more Funds and your associated interactions with us (including the initial application for shares, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth,

date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

### How we may use your personal data

The Fund, as the data controller, may collect, store and use your personal data for lawful purposes disclosed below:

(i) to reflect your ownership of shares in the Fund (i.e. where this is necessary for the performance of the contract to purchase shares in the Fund or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);

(ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or

(iii) for direct marketing purposes (that is, providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Northern Trust International Fund Administration Services (Ireland) Limited (the "**Administrator of the 7IM Dublin Funds**") and Northern Trust Global Services PLC (the "**Administrator of the 7IM UK Funds**") may each use your personal data where this is necessary for compliance with a legal obligation to which each Administrator is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction). The Administrators will each act as a data controller in respect of these specific uses of personal data.

Northern Trust Fiduciary Services (Ireland) Limited (the "**Depositary of the 7IM Dublin Funds**") and Northern Trust Global Services PLC (the "**Depositary of the 7IM UK Funds**") may each use your personal data where this is necessary for compliance with a legal obligation to which each Depositary is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where required for global tax reporting purposes). The Depositaries will each act as a data controller in respect of these specific uses of personal data.

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

### **Why we may transfer your personal data**

We may share your personal data with our affiliates and delegates.

In certain circumstances we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the Fund with the relevant taxation authorities and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the European Economic Area (the "**EEA**").

We anticipate that the following affiliates and delegates will process your personal data on our behalf and this may include certain entities located outside the EEA:

- the Administrator of the 7IM UK Funds;
- the Administrator of the 7IM Dublin Funds;

- the manager of the 7IM Dublin Funds, Link Fund Manager Solutions (Ireland) Limited
- the Fund's investment manager and distributor, Seven Investment Management LLP and their respective affiliates.

### **The data protection measures we take**

We anticipate that your information shall be sent internationally, including to countries outside of the EEA in particular, the above referenced Northern Trust entities have indicated that they will do this. Any transfer of personal data by us, any Northern Trust entities or any of our other duly authorised delegates outside the EEA shall be subject to appropriate safeguards being in place in accordance with the conditions in the Data Protection Legislation. Please contact us if you wish to obtain more information on the appropriate safeguards. See "Getting in touch" below.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

### **Your data protection rights**

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;

the right to lodge a complaint in Ireland with the Data Protection Commission in respect of the 7IM Dublin Funds (for more information see <https://dataprotection.ie/docs/complaints/1592.htm>) or in the United Kingdom with the Information

Commissioner in respect of the 7IM UK Funds (for more information see [www.ico.org.uk/concerns](http://www.ico.org.uk/concerns)).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

### **Our retention of your personal data**

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the Fund or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

**25 May 2018**

### **Changes to this Privacy Notice**

We may need to make changes to this Privacy Notice from time to time and shall do so by amending the version of this Privacy Notice published on our website <https://www.7im.co.uk/7IM-Funds-Privacy-Notice> and we would therefore invite you to review this regularly so you are informed of the latest position as it affects you.

### **Cookies Policy**

We have in place a separate cookies policy which is available on our website <https://www.7im.co.uk/7IM-Cookie-Policy> and details the use of cookies on our website.

### **Getting in touch**

The Funds are not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact us at [information@7IM.co.uk](mailto:information@7IM.co.uk)