

RATHBONES SINGLE STRATEGY FUNDS APPLICATION FORM (S-CLASS) FOR INDIVIDUAL INVESTORS

Type of investment (please indicate which you are making):

- ☐ New application (use part 1 of this form)
- ☐ Top-up (addition to current holding; use part 1 of this form)
- ☐ Switches between funds or unit/share types
(Income or Accumulation; use part 2 of this form)

For investments into S-Class units/shares for which the minimum lump sum investment is £100,000,000 (Rathbone Income Fund only), otherwise at Manager's discretion. There is no initial charge.

If a top-up or a fund to switch, please tell us your current Rathbones Asset Management account number:

For your own benefit and protection, you must make sure that you have read the appropriate **Key Investor Information Document (KIID) and the Supplementary Information Document (SID)** for the fund(s) into which you are investing, topping-up or switching, before signing this application form. If you do not understand any part of the documents, please ask for further information or where appropriate, please consult your investment adviser.

S-CLASS UNITS/SHARES

Contact us 020 7399 0399 ram@rathbones.com



Please complete this section in full using BLOCK CAPITALS

Applicant details

I/We confirm that I am/we are over 18 years of age. I/We confirm that I /we have read the Key Investor Information Document(s) and the Supplementary Information Document. Please state your name and address below. Units/shares will be registered in, and payments and correspondence will be sent to, this name and address, unless you specify otherwise.

First unit/share holder

Title (Mr/Mrs/Miss/Ms/Other) _____

Surname _____

Forename(s) in full _____

Permanent residential address _____

Postcode _____ Telephone _____

Place of birth _____ Date of birth _____

NI ID No. _____ Nationality _____

Second unit/share holder/joint applicant

Title (Mr/Mrs/Miss/Ms/Other) _____

Surname _____

Forename(s) in full _____

Designation _____

Permanent residential address _____

Postcode _____ Telephone _____

Place of birth _____ Date of birth _____

NI ID No. _____ Nationality _____

Tax self-certification

Tax regulations¹ require us to collect information about each investor's tax residency³. In certain circumstances (including if we do not receive a valid self-certification from you) we will have to share information about your account(s) with His Majesty's Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions⁴.

Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated tax reference numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US tax identification number.

Country/countries of tax residency

Tax reference number⁵

| |
|-------|
| _____ |
| _____ |
| _____ |
| _____ |

| |
|-------|
| _____ |
| _____ |
| _____ |
| _____ |

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

Tax self-certification notes

¹ The term "tax regulations" refers to regulations created to enable automatic exchange of information and include FATCA², various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

² The term "FATCA" refers to The Foreign Account Tax Compliance provisions contained in the US Hire Act 2010.

³ In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.

⁴ Those countries that have agreed to exchange information under FATCA and the CRS¹.

⁵ If you are a UK tax resident and not a tax resident anywhere else and also not a US citizen, you are not required to provide details of your 'Tax reference number' or 'date of birth', or if you are not resident in a jurisdiction that is reportable under CRS or FATCA and also not a US citizen, you are not required to provide your 'tax reference number' or 'date of birth'.

Please provide the following information on behalf of the beneficial owner(s)

Applicant details (continued)

Beneficial owner – By using this application form to invest in our fund(s), you will own the beneficial title in all investments and we will be entitled to treat you as the beneficial owner in all our dealings with you. This is in accordance with the information in our Key Investor Information Documents and Supplementary Information Document. If this is not correct, please fill in the beneficial owner details in the boxes below and confirm your relationship to those persons or that person.

Tick if for the benefit of a child ☐ or other person ☐ **if not go to part 1**

I/We confirm that all beneficial owner(s) (e.g. trustee, settlor, beneficiary, partner, shareholder etc) of this investment are listed below.

Beneficial owner 1

Title (Mr/Mrs/Miss/Ms/Other) _____
Surname _____
Forename(s) in full _____
Address _____

Postcode _____ Date of birth _____
Relationship _____

Beneficial owner 3

Title (Mr/Mrs/Miss/Ms/Other) _____
Surname _____
Forename(s) in full _____
Address _____

Postcode _____ Date of birth _____
Relationship _____

Beneficial owner 2

Title (Mr/Mrs/Miss/Ms/Other) _____
Surname _____
Forename(s) in full _____
Address _____

Postcode _____ Date of birth _____
Relationship _____

Beneficial owner 4

Title (Mr/Mrs/Miss/Ms/Other) _____
Surname _____
Forename(s) in full _____
Address _____

Postcode _____ Date of birth _____
Relationship _____

Declaration

All beneficial owners and other associated parties are known to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and money laundering verification provisions as outlined in the Supplementary Information Document.

Applicant's signature

Date

Applicant's signature

Date

If this application is completed without an adviser's declaration, you will have no rights to cancel the contract under the Financial Services (Cancellation) rules. If this application is submitted through an Adviser or Agent, the details overleaf must be completed by the Agent. The Manager reserves the right to reject any application in whole or in part. Orders placed over the telephone are legally binding and enforceable contracts.

Data protection – Where relevant, Rathbones' privacy notice for clients, together with our relevant terms of business, sets out how your personal data (as further detailed in the privacy notice) shall be processed by Rathbones. A copy of the privacy notice is available on request or on Rathbones' website.

From time to time Rathbones Asset Management Limited may wish to communicate with you with information on other products and services offered by the Rathbones Group. However, you should note that where you have applied for a Rathbones fund through an adviser, we may disclose information concerning your investments in these products to that adviser.

If you do not wish to be contacted by Rathbones companies, please advise us in writing at the following address:
Data Protection Officer, Rathbones Asset Management Limited, 8 Finsbury Circus, London EC2M 7AZ.

Money laundering – To comply with money laundering regulations, we may require you to supply evidence of identity and address and/or may check these details against any database (public or other) to which we have access. We will obtain a record if such an enquiry is made.

PART 1: (FOR NEW S-CLASS APPLICATIONS AND TOP-UPS)

Please indicate your choice of fund(s), unit/share type and amount to be invested or topped up

Investment details (for fund switches, please see part 2)

| | Unit/share type* | | Amount/additional amount to be invested | | Notes |
|------------------------------------|--------------------------|--------------------------|---|----------------------|--|
| | Inc | Acc | Lump sum | No. of units/shares* | |
| Rathbone Ethical Bond Fund | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ | *Unit/share types are as follows: Inc = Income units/shares, income paid out; Acc = Accumulation units/shares (see the Supplementary Information Document). + Maximum 2 decimal places. |
| Rathbone Global Opportunities Fund | | <input type="checkbox"/> | £ _____ | OR _____ | |
| Rathbone High Quality Bond Fund | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ | |
| Rathbone Income Fund | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ | |

I/We wish to invest or top up: £ _____ as a lump sum.

Payment by bank transfer is mandatory. Our bank details are: HSBC Bank plc, City of London and Commercial Office, 2nd Floor, 62/76 Park Street, London SE1 9DZ
Sort code 40-02-50 Account no. 91270362 Account Name: Rathbones Asset Management Limited

PART 2: (FOR SWITCHING BETWEEN S-CLASS UNITS/SHARES, DIFFERENT FUNDS AND/OR BETWEEN UNIT/SHARE TYPES, SAME FUND)

Investment details for fund switches (for new applications and for top-ups, please see part 1)

Please remember that you must switch into units/shares of the same type (i.e. either income or accumulation).

| Fund from: | Unit/share type* | | Fund to: | Unit/share type* | | Amount to be switched | |
|------------|--------------------------|--------------------------|----------|--------------------------|--------------------------|-----------------------|----------------------|
| | Inc | Acc | | Inc | Acc | Lump sum | No. of units/shares* |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | _____ | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | _____ | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | _____ | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | _____ | <input type="checkbox"/> | <input type="checkbox"/> | £ _____ | OR _____ |

I/We wish to switch: £ _____ as indicated above.

Notes: Please indicate your choice of fund(s), unit/share type and amount to be switched. If you require your income paid out (Income units/shares), and have not completed one before, please complete the dividend mandate to pay direct to your bank account. *Unit/share types are as follows: Inc = Income units/shares, income paid out; Acc = Accumulation units/shares (see the Supplementary Information Document), please tick the boxes as appropriate. Rathbone Global Opportunities Fund, only accumulation units available.

PART 3: (YOUR BANK/BUILDING SOCIETY DETAILS TO RECEIVE SALE PROCEEDS AND/OR INCOME PAYMENTS)

Please complete this section — income payments (income units/shares) or sale proceeds arising from your investments will be paid into your bank or building society account. Please note that income cannot be paid if the investment is in accumulation units/shares.

We will pay the proceeds of a sale to your bank/building society account; please list details of which below. If you prefer to receive a cheque, please tick here ☐

| | |
|----------------------------------|--|
| Bank/building society name _____ | Bank or building society sort code <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Address _____ | Account holder's name(s) _____ |
| _____ | _____ |
| _____ | Account number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| _____ Postcode _____ | Building society roll number _____ |

Authorisation under FSMA 2000 (to be completed by an adviser only)

My/our authorisation to give investment advice is through being authorised and regulated by the Financial Conduct Authority:

My/our FCA reference number _____

Section 1 or 2 must be completed and signed

Adviser's declaration (to be completed by an adviser only)

1. I/We confirm that the applicant named in this application is entitled to cancellation rights under the FCA (Conduct of Business) rules

☐ (Tick only if cancellation rights apply).

I/We hereby indemnify Rathbones Asset Management Limited for any losses suffered should it subsequently be discovered that the applicant was entitled to cancellation rights and no cancellation notice was sent as a result of the above.

Signed _____

Name _____

2. I/We confirm that the applicant named in this application is not entitled to cancellation rights under the FCA (Conduct of Business) rules because (tick whichever explains why cancellation rights do not apply).

☐ The applicant responded to a direct offer advertisement as defined by the FCA (Conduct of Business) rules.

☐ The applicant is an execution only customer.

☐ The applicant is subject to a customer agreement waiving such rights.

☐ The application form was completed outside the United Kingdom as the result of advice given by me/an advertisement issued outside the United Kingdom.

Date _____

Position _____

When completed, this form should be returned to your adviser or direct to our dealing office (Rathbones Asset Management Limited, PO Box 9948, Chelmsford CM99 2AG). For further information please see the Supplementary Information Document.

Adviser/agent stamp (please enter either company stamp or agreed terms or if part of a network)

Any enquiries

Please write to our dealing office or telephone us. For details please look at the Supplementary Information Document.

Adviser only:

Stamp:

FCA number _____

DECLARATION AND SIGNATURE(S)

Declaration

I/We declare that the information provided on this form is, to the best of my/our knowledge and belief, accurate and complete. I/We confirm agreement to all client money arrangements and procedures including the Delivery Versus Payment exemption provisions (and those relating to commercial settlement exemption provisions where appropriate) as detailed in the Supplementary Information Document (SID).

Applicant's signature

Date

Applicant's signature

Date

Copies of the Prospectus, the latest Key Investor Information Document (KIID), the Supplementary Information Document (SID), and the latest Manager's report and accounts for this fund are available on request from us, free of charge.

Rathbones Asset Management

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+44 (0)20 7399 0399
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Rathbones Asset Management Limited is authorised and regulated by the Financial Conduct Authority and a member of The Investment Association. A member of the Rathbones Group Plc. Registered office: 8 Finsbury Circus, London EC2M 7AZ. Registered in England No. 02376568.