

# Rathbone Heritage Fund ISA/NISA application form (tax year 2018/2019, I-Class only)

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

- New application (use part 1 of this form)
- Transfers from other Managers (use part 1 of this form and the ISA/NISA Transfer Authority)
- Top-up (addition to current holding; use part 2 of this form)
- Switches between funds or unit types (Income or Accumulation; use part 3 of this form)

If a top-up or a fund to switch, please tell us your current Rathbone Unit Trust Management account number:

For your own benefit and protection, you must make sure that you have read the appropriate **Key Investor Information Document** and the **Supplementary Information Document** 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.

Please note, to be able to invest in an ISA with I-Class units, you must have an existing non-ISA fund holding of £1,000 or more. This application form is for clients investing in a 2018/2019 Stocks and Shares ISA with Rathbones.

Please complete this section in full using BLOCK CAPITALS

## Applicant details

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_ Daytime telephone number \_\_\_\_\_  
(will only be used in case of queries)

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_ Date of birth \_\_\_\_\_

Permanent residential address \_\_\_\_\_ Do you have a National Insurance number? Yes   
Not allocated

\_\_\_\_\_ If yes, please enter \_\_\_\_\_

\_\_\_\_\_ If you do not know it, see your P60, notice of coding or tax return. Otherwise your employer or tax office may be able to help. If you receive a pension, you can find the number on the front of your pension book. We may not be able to process your application without it.

\_\_\_\_\_ To speed processing, if you already have an account, please fill in your  
Account number \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

### Important notes

**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 Rathbone Unit Trust Management Limited may wish to communicate with you with information on other products and services offered by the Rathbone group. However, you should note that where you have applied for a Rathbones unit trust 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 Rathbone companies, please advise us in writing at the following address:  
Data Protection Officer, Rathbone Unit Trust 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 I-Class applications and transfers)

### Essential note: for transfers, please complete the ISA transfer authority (separate form)

Please indicate your choice of unit type and amount to be invested

ISA/NISA investment details – tax year 2018/2019 (for top-ups, please see part 2 and for fund switches, please see part 3)

	Unit type*		Amount to be invested
	Inc	Acc	
Rathbone Heritage Fund	<input type="checkbox"/>	<input type="checkbox"/>	£ _____ Lump sum

I/We wish to invest: £ \_\_\_\_\_ as a lump sum.

Notes: The total 2018/2019 lump sum should not exceed £20,000 (minimum £1,000 lump sum) and your whole NISA allowance of £20,000 can be invested in either cash, stocks and shares, or any combination of the two. Please also pay heed to this overall limit if you are investing in other of our ISA products in the 2018/2019 tax year. Please make cheques payable to Rathbone Unit Trust Management Limited. If you require your income paid out (Income units) please complete the dividend mandate overleaf to pay direct to your bank account. \*Unit types are as follows: Inc = Distribution units, income paid out; Acc = Accumulation units (see the Supplementary Information Document).

Please see the additional information for our ISA/NISA within the Supplementary Information Document.

Rathbone Unit Trust Management

I-Class units

Contact us 020 7399 0399 rutm@rathbones.com

Rathbones  
Look forward

## Part 2: (for top-ups to existing I-Class investments)

Please add the unit type of the existing holdings that you wish to top-up and the additional amount you wish to invest

ISA/NISA top-up investment details (for new applications and transfers, please see part 1 and for fund switches, please see part 3)

	Unit type*		Amount to be invested
	Inc	Acc	
Rathbone Heritage Fund	<input type="checkbox"/>	<input type="checkbox"/>	£ _____ Lump sum

I/We wish to invest: £ \_\_\_\_\_ more as a lump sum.

Notes: The total 2018/2019 lump sum should not exceed £20,000 (minimum £1,000 lump sum) and your whole NISA allowance of £20,000 can be invested in either cash, stocks and shares, or any combination of the two. Please also pay heed to this overall limit if you are investing in other of our ISA products in the 2018/2019 tax year. Please indicate your choice of fund(s), unit type and amount to be invested. If you require your income paid out (Income units), and have not completed one before, please complete the dividend mandate to pay direct to your bank account. \*Unit types are as follows: Inc = Distribution units, income paid out; Acc = Accumulation units (see the Supplementary Information Document).

## Part 3: (for switching between I-Class units (different funds) and/or between unit types (same fund))

ISA/NISA investment details for fund switches (for new applications and transfers, please see part 1 and for top-ups, please see part 2)

Please remember that you must switch into units of the same type (i.e. either income or accumulation). Please note that a £1,000 minimum investment limit applies to I-Class units.

Fund from:	Unit type*		Fund to:	Unit type*		Amount to be switched
	Inc	Acc		Inc	Acc	
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____ Lump sum
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____

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

Notes: Please indicate your choice of fund(s), unit type and amount to be switched. If you require your income paid out (Income units), and have not completed one before, please complete the dividend mandate to pay direct to your bank account. \*Unit types are as follows: Inc = Distribution units, income paid out; Acc = Accumulation units (see the Supplementary Information Document), please tick the boxes as appropriate. This part of the form can be used for switches to or from the Rathbone Heritage Fund to or from other funds. You must write the name of the Rathbone Heritage Fund in either of the 'Fund to' or 'Fund from' boxes.

Please ensure that you sign and date the Stocks & Shares ISA/NISA declaration

### Declaration and Authority

**I declare that** I am 18 years of age or over and that I am resident in the United Kingdom for tax purposes, or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) 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 Rathbone Unit Trust Management Limited if I cease to be so 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 have not subscribed and will not subscribe to another ISA/NISA or more than the overall subscription limit in total to a cash ISA/NISA, a stocks and shares ISA/NISA and (from 6 April 2018), or an innovative finance ISA/NISA (which Rathbone Unit Trust Management does not offer), from another provider in the same tax year.

I 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 part 6 of the Supplementary Information Document (SID).

**I authorise Rathbone Unit Trust Management Limited** to hold my cash subscription, ISA/NISA 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/NISA investments. On my written request to transfer or pay to me, as the case may be, ISA/NISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash. I agree to the ISA/NISA terms and conditions. I declare that this application form has been completed to the best of my knowledge and belief.

**I have read the appropriate Key Investor Information Document(s) and Supplementary Information Document**

Signature

Date

\_\_\_\_\_

## Part 4: (your bank/building society details to receive sale proceeds and/or income payments)

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

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

Address \_\_\_\_\_ Account holder's name(s) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Account number

\_\_\_\_\_ Postcode \_\_\_\_\_ Building society roll number \_\_\_\_\_

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

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.

**Rathbone Unit Trust Management Limited**

8 Finsbury Circus, London EC2M 7AZ  
Tel 020 7399 0000  
Fax 020 7399 0057

**Information line**

020 7399 0399  
rutm@rathbones.com  
rutm.com

Authorised and regulated by the  
Financial Conduct Authority

A member of the  
Investment Association

A member of the Rathbone Group.  
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