

Rathbone Heritage Fund application form (S-Class)

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 2 of this form)
 Switches between funds or unit types
(Income or Accumulation; use part 3 of this form)

For investments into S-Class units for which the minimum lump sum investment is £30,000,000 and which have no initial charge.

If a top-up or a fund to switch please enter 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 identify what type of investor you are by ticking the relevant box below.

- Person Other

If you select 'Other' then you must refer to section 2, part 6 of the SID to identify what type of investor you are from the list provided and state this below:

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 will be registered in, and payments and correspondence will be sent to, this name and address, unless you specify otherwise.

First unitholder/signatory (company investment)

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

Surname _____

Forename(s) in full _____

If a Trustee of a scheme, please tick

Permanent residential address _____

Postcode _____ Telephone _____

Place of birth _____ Date of birth _____

NI ID No. _____ Nationality _____

Second unitholder/joint applicant/signatory (if applicable)

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

Surname _____

Forename(s) in full _____

Name of scheme/company _____

Designation (nominee accounts only) _____

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 Her 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

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 part 6 of the Supplementary Information Document (SID).

Applicant's signature

Date

Applicant's signature

Date

For note references, see back page.

Rathbone Unit Trust Management

S-Class units

Contact us 020 7399 0399 rutm@rathbones.com

Rathbones
Look forward

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, unitholder 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 2

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 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. We may 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 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 S-Class applications)

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

Investment details (for top-ups, please see part 2 and for fund switches, please see part 3)

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

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

Notes

Minimum investment is £30,000,000.
If you require your income paid direct to your bank account, please complete the dividend mandate overleaf (not available if accumulation units are selected).

*Unit types are as follows:
Inc = Distribution units, income paid out;
Acc = Accumulation units (see the Supplementary Information Document).

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: Rathbone Unit Trust Management Limited

Part 2: (for top-ups to current S-Class investments)

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

Top-up investment details (for new applications, please see part 1 and for fund switches, please see part 3)

	Unit type*		Additional 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

Minimum top-up investment is £500 per fund.

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).

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: Rathbone Unit Trust Management Limited

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

Investment details for fund switches (for new applications, 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 the minimum investment for S-Class units is £30,000,000 (Rathbone Heritage Fund); £100,000,000 (Rathbone Income Fund) and £1,000 (Rathbone Multi-Asset Portfolios).

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"/>	£ _____

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.

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 <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
Address _____	Account holder's name(s) _____
_____	_____
_____	Account number <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
_____ 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 Rathbone Unit Trust 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 (Rathbone Unit Trust Management Limited, PO Box 9948, Chelmsford CM99 2AG). For further information please see the Supplementary Information Document.

Tax self-certification notes from page 1

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".

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.
Registered No. 02376568