

# The Rathbone Multi-Asset Portfolios ISA/NISA Application Form (tax year 2018/2019, R-Class shares 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 share 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.

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 R-Class applications and transfers)

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

Please indicate your choice of fund(s) and amount to be invested (for transfers, please state percentage in each fund; to sum to 100% in total)

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

	Share type*		Amount to be invested	
	Inc	Acc	Lump sum	
Rathbone Total Return Portfolio	<input type="checkbox"/>	<input type="checkbox"/>	£ _____	OR _____ %
Rathbone Strategic Growth Portfolio	<input type="checkbox"/>	<input type="checkbox"/>	£ _____	OR _____ %
Rathbone Enhanced Growth Portfolio		<input type="checkbox"/>	£ _____	OR _____ %
<b>Total amount to be invested: £ _____ or 100% as a lump sum.</b>				

**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 shares) please complete the dividend mandate overleaf to pay direct to your bank account.

\*Share types are as follows:  
Inc = Income shares, income paid out;  
Acc = Accumulation shares (see the Supplementary Information Document).

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

Rathbone Unit Trust Management

R-Class shares

Contact us 020 7399 0399 rutm@rathbones.com

**Rathbones**  
Look forward

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

Please add the fund name(s) and share type of the current holdings that you wish to top-up and the additional amount you wish to invest

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

	Share type*		Additional amount to be invested
	Inc	Acc	Lump sum
Rathbone Total Return Portfolio	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
Rathbone Strategic Growth Portfolio	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
Rathbone Enhanced Growth Portfolio		<input type="checkbox"/>	£ _____

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), share type and amount to be invested. If you require your income paid out (Income shares), and have not completed one before, please complete the dividend mandate to pay direct to your bank account.

\*Share types are as follows:

Inc = Income shares, income paid out;  
Acc = Accumulation shares (see the Supplementary Information Document).

## Part 3: (for switching between R-Class shares (different funds) and/or between share types (same fund))

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

Fund from:	Share type*		Fund to:	Share type*		Amount to be switched
	Inc	Acc		Inc	Acc	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"/>	£ _____
_____	<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), share type and amount to be switched. If you require your income paid out (Income shares), and have not completed one before, please complete the dividend mandate to pay direct to your bank account. \*Share types are as follows: Inc = Income shares, income paid out; Acc = Accumulation shares (see the Supplementary Information Document), please tick the boxes as appropriate. Rathbone Enhanced Growth Portfolio, only accumulation shares available.

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 5 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 \_\_\_\_\_

### 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

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:**

FCA number \_\_\_\_\_

Agent code \_\_\_\_\_

**Stamp:**

**Adviser remuneration:**

Advice given to client

No advice given to client

If this is an execution-only deal, please tick the 'no advice given to client' box

Discount you expect \_\_\_\_\_ %

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

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A member of the  
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A member of the Rathbone Group.  
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