The Rathbone Multi-Asset Portfolios Application Form (R-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 share types (Income or Accumulation; use part 3 of this form)**

For investments into R-Class shares for which the minimum lump sum investment is £1,000 and which are subject to an initial charge.

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

First shareholder/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 shareholder/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 regulations[1] require us to collect information about each investor's tax residency[3]. 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 jurisdictions[4].

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 number[5]

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.

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 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. 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 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)

Please indicate your choice of fund(s), and amount to be invested

Investment details (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		No. of shares+
Rathbone Total Return Portfolio	☐	☐	£ ____________	or	____________
Rathbone Strategic Growth Portfolio	☐	☐	£ ____________	or	____________
Rathbone Enhanced Growth Portfolio		☐	£ ____________	or	____________

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

Notes
Minimum investment is £1,000 per fund, £500 per fund for subsequent investments.
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).
+ Maximum 2 decimal places

I/We enclose a cheque made payable to Rathbone Unit Trust Management Limited, or make a bank transfer (please tick if appropriate) ☐

for £ ______________________

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 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 that you wish to invest

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

	Share type*		Amount to be invested		
	Inc	Acc	Lump sum		No. of shares
____________	☐	☐	£ ________	or	________
____________	☐	☐	£ ________	or	________
____________	☐	☐	£ ________	or	________

Notes

Minimum investment is £500 per fund for lump sum top-ups.

*Share types are as follows:

Inc = Income shares, income paid out; Acc = Accumulation shares (see the Supplementary Information Document). Rathbone Enhanced Growth Portfolio, only accumulation shares available.

I/We wish to invest: £ ________________ **more as a lump sum.**

I/We enclose a cheque made payable to Rathbone Unit Trust Management Limited, or make a bank transfer (please tick if appropriate) ☐

for £ ________________

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 R-Class shares (different funds) and/or between share types (same fund))

Investment details for fund switches (for new applications, please see part 1 and for top-ups, please see part 2)

If your switch indicated below is from existing R-Class shares to S-Class shares of the same fund, please tick here. ☐ Please remember that you must switch into shares of the same type (i.e. either income or accumulation).

	Share type*			Share type*		Amount to be switched
Fund from:	Inc	Acc	Fund to:	Inc	Acc	Lump sum
____________	☐	☐	____________	☐	☐	£ ________
____________	☐	☐	____________	☐	☐	£ ________
____________	☐	☐	____________	☐	☐	£ ________
____________	☐	☐	____________	☐	☐	£ ________

I/We wish to switch a total of: £ ________________ **as indicated above.**

Notes: Please indicate your choice of fund(s), share type and amount to be switched. If you require your income paid direct to your bank account, 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.

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 shares) 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 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 ________________

Address ________________

____

____

________________ Postcode ________________

Bank or building society sort code ☐☐ ☐☐ ☐☐

Account holder's name(s) ________________

____

Account number ☐☐☐☐☐☐☐☐☐

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.

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.

Signed ______________________ **Date** ______________________

Name ______________________ **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 (to qualify for commissions, 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 ______________________

Adviser renumeration:

☐ 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 ______________________ %

Stamp:

Tax self-certification notes from page 1

[1] The term "tax regulations" refers to regulations created to enable automatic exchange of information and include FATCA[2], 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 CRS[1].

[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.

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