



Unit Trust/OEIC  
application form

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## WHAT IS INCLUDED IN THIS APPLICATION

1. Completing your application form: *instructions on how to complete this form and make payments*
2. Additional information
3. Your details
4. Your investment requirements
5. Declaration and authorisation: *all investors must complete sign this section*
6. Tax residency declaration: *all investors must complete sign this section*
7. Income payment for distribution units/shares: *only complete this section if you are investing in distribution units/shares and wish to receive the income*
8. Bank details for redemption payments: *complete this section if you wish for us to have your bank details on record for any withdrawals.*
9. Direct Debit instruction: *only complete this section if you wish to invest via Direct Debit*

## COMPLETING YOUR APPLICATION FORM

### Before making an investment

#### Before filling in your application, be sure that you:

- have carefully read these instructions
- understand the features of the investments you have chosen
- have chosen the fund(s) that is/are right for you
- have considered the risks involved
- understand the effect charges have on your investment

#### Please carefully read the following separate documents:

- our Terms and Conditions
- the Key Investor Information Document(s) for each of your selected fund(s)
- the Supplementary Information Document
- the Artemis fund codes to help you determine which share/unit class is appropriate for you

We recommend you retain copies for future reference.

*Please fill in your application form in block capitals.*

If you need any help with understanding terms used in this document please refer to our glossary at [artemisfunds.com/glossary](http://artemisfunds.com/glossary).

You should also consider getting independent financial advice before you make any investment.

### Filling in your application form

1. Complete the relevant sections of the application form
2. Read and sign the declaration and authorisation
3. Send your application, with a cheque if appropriate, to:

Artemis Fund Managers Limited  
Sunderland  
SR43 4BH

### How to make a payment

You can invest a lump sum or make monthly payments, or a combination of both.

#### You can make a payment by:

- Cheque, if you are investing a lump sum
- Direct Debit, if you are making monthly payments

#### If you are investing a lump sum:

- Send a cheque with your application, made out to 'Artemis Fund Managers Limited'
- The cheque should be from a personal bank account held in your name or be made out by a building society.
- If the cheque is made out by a building society, arrange for it to be made payable to Artemis Fund Managers Limited r.e {insert your name}. If you are making the investment on behalf of a trust, pension fund or charity, the cheque can be from an account in its name.

#### If you are making monthly payments:

- Fill in the Direct Debit form.
- We will take your payments directly from your account each month on the first working day.
- Please note it takes at least 10 working days to set up a Direct Debit.

Please note that we must verify the account before we can setup your direct debit.

### If you need help

- Phone us on 0800 092 2051, between 8am and 6pm Monday to Friday.
- Send an email to: [artemisenquiries@ntrs.com](mailto:artemisenquiries@ntrs.com) (emails are not secure so please don't include private or financial information in your message)
- Write to us at:

Artemis Fund Managers Limited  
Sunderland  
SR43 4BH

If you want any document in another format (for example, in large print, in Braille or on CD), please contact us.

## ADDITIONAL INFORMATION

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### Investing with/on behalf of others

#### **Beneficial owners**

We can accept an application where the person who owns and benefits from the investment (known as the 'beneficial owner') is different to the person who opens and invests into the account (for example, a parent investing for their child). Multiple beneficial owners are permitted on the one account, and their names, addresses and dates of birth must be supplied or the application will be rejected. A beneficial interest may arise as a trustee, shareholder or other individual who controls more than 25% of the property of a trust, more than 25% of the voting rights of a company (or other corporate body) or is entitled to more than 25% of the company's profits. We must check the identity and address of all investors who have a beneficial interest in the units/shares.

#### **Designation**

We can record that this investment has been bought on behalf of another person. For example you may want to designate an investment to a child. The investment however will still legally be owned by the adult account holder.

#### **Joint investors**

We can accept up to four joint investors. To add additional investors please fill in their details on page 6. Please note that investment correspondence such as bi-annual statements or tax vouchers will only be sent to the first named holder.

#### **Privacy notice**

Artemis needs to collect your personal data (and in some cases data relating to individuals associated with your account) in order to process your application to invest with us. We have documented our role as data controller in our Privacy Notice which can be obtained from our website or from the Client Services team using the contact details below. The Privacy Notice explains how we store your data, the reasons why we collect it, who we may share it with and your rights in relation to the data we hold about you. Please take the time to read the Privacy Notice which also explains how you may contact us if you have any queries relating to our holding of your personal data.

## YOUR DETAILS

Title (Mr, Mrs, Ms and so on) \_\_\_\_\_

Surname \_\_\_\_\_

First names \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth \_\_\_\_\_

Daytime phone number \_\_\_\_\_

Email address \_\_\_\_\_

If you already have an Artemis Fund Managers' ISA or unit trust, give your investor reference number \_\_\_\_\_

If the investment is to be held in trust, give the name and address of the trust, pension fund or charity \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Are you currently using the services of an agent such as a financial adviser and broker? Yes ☐ No ☐

### Adviser details

To be completed by your financial adviser

*If you are employing a financial adviser to assist you with your investments, he/she should complete this section.*

Company name and address (use Agent stamp if available)

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

Advice was given ☐

No Advice was given. The investment is made on an 'execution only' basis ☐

### Investing with/on behalf of others

Are you the sole beneficial owner of this investments? Yes ☐ No ☐

If you have answered no, please provide full details in the boxes below. You can provide details for up to four beneficial owners.

Full name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth \_\_\_\_\_

Full name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth \_\_\_\_\_

Full name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth \_\_\_\_\_

Full name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth \_\_\_\_\_

### Designated account

If you are making this investment on behalf of another person, give the initials or name below.

Designation: \_\_\_\_\_

Joint investors

We can accept up to four joint investors. You can give details of additional joint investors below. Please note the additional investors who complete the additional form will also need to sign the declaration.

Second investor’s details

Title (Mr, Mrs, Ms and so on)

Surname

First names

Address

Signature

Postcode

Date of birth

Daytime phone number

Email address

Date

Third investor’s details

Title (Mr, Mrs, Ms and so on)

Surname

First names

Address

Signature

Postcode

Date of birth

Daytime phone number

Email address

Date

Fourth investor’s details

Title (Mr, Mrs, Ms and so on)

Surname

First names

Address

Signature

Postcode

Date of birth

Daytime phone number

Email address

Date

## YOUR INVESTMENT REQUIREMENTS

To help you populate this section of the form, you will need our Artemis fund codes which you can get from our website at [www.artemisfunds.com/literature](http://www.artemisfunds.com/literature) (select publication type 'application forms') or through our Fund Service Centre on 0800 092 2051

You will need to:

- Specify the class of units of the fund(s) you wish to invest in.
  - The Artemis fund codes will help you find the correct code.
- **Please note that Class R is no longer available to new investments.**

- Specify what you wish to invest in each fund/class in £
- Specify whether you wish to invest lump sums, monthly savings or both

The minimum monthly savings amount for all funds is £50. There is no upper limit on the amount you can invest.

	Lump sum		Monthly savings
ISIN code	£	and/or	£
ISIN code	£	and/or	£
ISIN code	£	and/or	£
ISIN code	£	and/or	£
ISIN code	£	and/or	£
<b>Total</b>	£		£

### Further information required

- If you are investing in distribution units, the income will be paid out to you; complete form on page 8 with your account details
- If you choose monthly savings, please complete the Direct Debit form on page 9 and provide documents to verify your bank account

## DECLARATION AND AUTHORISATION

**You and any joint investor(s) must read and sign this declaration. If you do not understand any point, please ask for more information.**

- I/we confirm that I/we have read the Key Investor Information Document for each fund I/we have invested in.
- All beneficial owners and other associated parties are known to me/us.
- I/we undertake to make those named above aware that they may be subject to the same data protection and money laundering verification provisions, as outlined in the supplementary information document, as I am/we are.
- If this investment is being made on behalf of a trust, pension fund or charity, all the trustees must sign.
- I/we confirm that I/we am/are aware that you will use the Delivery versus Payment exemption from the requirement to treat client money as "client money" in accordance with the FCA Handbook of Rules and Guidance. In the event that you become insolvent or otherwise fail, I/we understand that there is a risk of loss or delay in the return of any money held by you that is not treated as "client money" as a result of your use of the Delivery versus Payment exemption, and that there is no guarantee that such money would be returned to me/us. I hereby consent to you making use of the Delivery versus Payment exemption, as more fully described in the relevant section of the Prospectus.
- I/we have read the Terms & Conditions.

Signature \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## TAX RESIDENCY DECLARATION

Tax regulations<sup>1</sup> require us to collect information about each investor's tax residency<sup>2</sup>. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged 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<sup>3</sup>.

Country/Countries of Tax Residency


Tax Identification Number\*


If you are not resident in any country for tax purposes, please tick this box. ☐ Please provide evidence to support this classification.

### Declaration

I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete.

I agree to notify Artemis Fund Managers Limited immediately if any of this information changes in the future.

Signed by (please print name) \_\_\_\_\_

Residence address \_\_\_\_\_

Date of birth \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency<sup>2</sup>, please contact your tax adviser.

<sup>1</sup> The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

<sup>2</sup> 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.

<sup>3</sup> Those countries that have agreed to exchange information under FATCA and the CRS<sup>1</sup>.

\* If you are a UK Tax resident, not a tax resident anywhere else and also not a US citizen, you are not required to provide details of your 'Tax Identification Number' or 'Date of Birth'. 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 Identification Number' or 'Date of Birth'. If domestic tax legislation in your country of tax residency does not allow this information to be provided you should make the Manager aware of this.

## INCOME PAYMENT FOR DISTRIBUTION UNITS

**Only complete this section if you are investing in distribution units and wish to receive the income.**

- Specify details of the bank or building society account you want us to pay any income into
- If you do not complete this section, your investment will buy accumulation units and you will not receive any income

If you are investing in the Artemis High Income Fund and you do not complete this section, any income your units earn will be reinvested.

Name of bank or building society

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Address

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Postcode

--

Name the account is held in

--

Branch sort code

--

Account number

--

Building society roll number (if applicable)

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# BANK DETAILS FOR REDEMPTION PAYMENTS

Please complete this section if you would like us to record your bank details so that all future withdrawals are paid into this bank account without the need for you to provide the details each time. Please note that the details will automatically be used so if you change your bank account you will need to advise us. Written confirmation of the withdrawal may still be required, depending on how the withdrawal was placed.

Name of bank or building society

Address

Postcode

Name the account is held in

Branch sort code

Account number

Building society roll number (if applicable)

# IMPORTANT INFORMATION

Please note we are only able to pay proceeds or distribution income to your account if we have fully verified your identity and payment details. In order to verify your bank details we will automatically run an electronic check and will require identification docs; either an original voided cheque or a Bank Statement not older than six months (either an original or a copy certified by an appropriate person - solicitor, accountant or your bank/building society manager. Internet based bank statements are not acceptable.) If this fails, we will contact you or your Finance Advisor by letter or phone to request further identification. We can only pay monies to the named account holder(s).

## DIRECT DEBIT INSTRUCTION

Only complete this section if you wish to invest via Direct Debit

**Send to:**

Artemis Fund Managers Limited  
Sunderland  
SR43 4BH



To the manager (write the name of the bank or building society)

Bank/Building Society \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Name(s) of account holder(s) \_\_\_\_\_  
\_\_\_\_\_

Bank/Building Society

account number \_\_\_\_\_

Branch sort code \_\_\_\_\_

Banks and building societies may not accept Direct Debit instructions from some types of accounts.

Service User Number      9   0   9   5   0   1

Reference      \_\_\_\_\_

**FOR ARTEMIS FUND MANAGERS LIMITED OFFICIAL USE ONLY**

This is not part of the instruction to your bank or building society

To be filled in by monthly savers only.

We cannot accept lump-sum investments through the Direct Debit Scheme.

We will take the funds from your account on the first working day of each month.

**Instruction of your bank or building society**

Please pay Artemis Fund Managers Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this instruction may remain with Artemis Fund Managers Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signatures \_\_\_\_\_

Date \_\_\_\_\_

### Direct Debit guarantee

This guarantee should be detached and retained by the payer.



This guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.

- If there are any changes to the amount, date or frequency of your Direct Debit Artemis Fund Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Artemis Fund Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit by Artemis Fund Managers Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society. If you receive a refund you are not entitled to, you must pay it back when Artemis Fund Managers Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.





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**Artemis Fund Managers Limited**

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6th floor, Exchange Plaza, 50 Lothian Road, Edinburgh EH3 9BY

**Sales Support** 0800 092 2051

**Facsimile** 020 7399 6498

**Fund Service Centre** 0800 092 2051

**Facsimile** 0207 643 3708

**Website** [www.artemisfunds.com](http://www.artemisfunds.com)

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