

Close Asset Management (UK) Limited

'X' Share Class Unit Trust/OEIC & ISA Application Form

This share class is available to investment advisers providing fee-based advice to underlying investors, distribution partners and to direct investors. This share class does not pay commission.

This form may be used for investment in any of the different funds listed below:

Close Discretionary Funds Range:

Close Bond Income Portfolio Fund

Close Diversified Income Portfolio Fund

Close Conservative Portfolio Fund

Close Balanced Portfolio Fund

Close Select Fixed Income Fund

Close Growth Portfolio Fund

Close Managed Income Fund

Close Managed Conservative Fund

Close Managed Balanced Fund

Close Managed Growth Fund

Close Tactical Select Passive Conservative Fund

Close Tactical Select Passive Balanced Fund

Close Tactical Select Passive Growth Fund

Close Specialist Funds Range:

Close FTSE techMark Fund

Close Strategic Alpha Fund

Close Brothers Asset Management is a trading name of Close Asset Management (UK) Limited, the manager of these funds.

Before investing:

- You may obtain a copy of the current Key Investor Information Document and/or the most recent Annual or Interim report and accounts from Close Asset Management (UK) Limited on our website www.closebrothersam.com
- If you need advice on whether this investment is suitable for you consult your professional financial adviser or contact our Close Brothers Advisers on 08442 640 705. Our Financial Planning Service can give you more details regarding both our full range of funds and a wide range of third party funds. They will also discuss the suitability of each of these options for you based on your personal circumstances and attitude to risk. Please remember that the value of investments can go down as well as up and you may get back less than invested.

How do I invest in a Fund?

To make an investment either:

- a) Telephone your order to our dealers on 0370 606 6402 (calls to this number will be recorded);
- b) Visit our website www.closebrothersam.com/funds and print, complete and post an application form along with a cheque made payable to Close Asset Management (UK) Limited to Close Asset Management (UK) Limited, PO Box 367, Darlington, DL1 9RG. If your cheque is drawn on a building society account, please make the cheque payable to:
"Close Asset Management (UK) Limited Reference [Insert Your Name]";

Please complete in **BLOCK capitals using black ink**. Please note any sections that are not completed correctly may incur delays or may have to be returned to you.

1. Applicant 1 - Main Account Holder

Title
 Mr Mrs Miss Ms Other

Date of birth / /

First name(s) in full

Surname

Nationality

Marital status

Permanent residential address ('care of' and PO Box are not acceptable).
 Only UK mainland and Northern Ireland addresses are acceptable.

Telephone number

Email address

National Insurance number (not applicable to Trustees)
 Please note that ISA applications cannot be held as a Trustee account

Postcode:

2. Applicant 2 - (if applicable) NB - If the joint Holder also wishes to apply for an ISA, please complete a separate form.

Title
 Mr Mrs Miss Ms Other

Date of birth / /

First name(s) in full

Surname

Nationality

Marital status

Permanent residential address ('care of' and PO Box are not acceptable).
 Only UK mainland and Northern Ireland addresses are acceptable.

Telephone number

Email address

National Insurance number (not applicable to Trustees)

Postcode:

3. Amount of subscription

Single investment amount
 £ Please note that, for ISA applications, you cannot invest more than the current annual ISA limit.

Please tick the appropriate method of payment:
 Cheque BACS Direct Debit

Cheques should be made payable to Close Asset Management (UK) Limited.

BACS payments to: Sort Code: 16-04-00, Account Number: 20008832, Account Name: Close Asset Management (UK) Ltd.

If you are paying your single contribution by Direct Debit, please fill out the attached mandate. Please allow up to 15 working days from receipt of your confirmation schedule for collection of your contribution.

We do not accept third party payments. Cheques and direct credit transfers should be issued from your personal or joint bank account. If an application is accompanied by a bankers draft or building society cheque, please ensure the bank or building society enters your name and address on the reverse of the cheque/draft and adds their stamp and signature.

Regular investment amount

£ Please note that, for ISA applications, you cannot invest more than the current annual ISA limit in total. Payment start date / /

Frequency Monthly Quarterly Half Yearly Yearly

If you are paying your regular instalments by direct debit, please fill out the attached mandate. Please allow up to 15 working days from receipt of your confirmation schedule before the first regular instalment is collected.

For ISA Applications

Approximate cash transfer from existing ISA Plan Manager. Please complete Section 10 (ISA transfer in schedule)

Approximate re-registration amount from existing ISA Plan Manager. Please complete Section 10 (ISA transfer in schedule)

4. Fund choice

Please tick the fund(s) in which you wish to invest and indicate the amount(s) you wish to invest. Your investment will be into the 'X' share class, either Accumulation or Income where applicable. Please note for an ISA application, you should indicate your amount to invest in the columns below the shaded blue headings.

Accumulation	Income	Close Discretionary Funds (Please tick the appropriate box(es) below)	Unit Trust/OEIC Application		ISA Application	
			Lump sum amount Minimum £1,000	Regular monthly savings Minimum £250	Lump sum amount Minimum £1,000	Regular monthly savings Minimum £100
		Bond Income Portfolio Fund	£	£	£	£
		Diversified Income Portfolio Fund	£	£	£	£
		Conservative Portfolio Fund	£	£	£	£
		Balanced Portfolio Fund	£	£	£	£
		Select Fixed Income Fund	£	£	£	£
		Growth Portfolio Fund	£	£	£	£
		Managed Income Fund	£	£	£	£
		Managed Conservative Fund	£	£	£	£
		Managed Balanced Fund	£	£	£	£
		Managed Growth Fund	£	£	£	£
		Tactical Select Passive Conservative Fund	£	£	£	£
		Tactical Select Passive Balanced Fund	£	£	£	£
		Tactical Select Passive Growth Fund	£	£	£	£
Accumulation	Income	Close Specialist Funds (Please tick the appropriate box(es) below)	Lump sum amount Minimum £1,000	Regular monthly savings Minimum £250	Lump sum amount Minimum £1,000	Regular monthly savings Minimum £100
		FTSE techMark Fund	£	£	£	£
		Close Strategic Alpha Fund	£	£	£	£

Regular Savings

In order to open your Monthly Savings Plan you MUST COMPLETE the Direct Debit Mandate (supplied) to allow us to automatically deduct the amount you have decided to save from your bank / buildings society account.

Please note that the first instalment must be by cheque. It should be drawn on the same UK bank or building society account from which the monthly savings direct debits are made. Please make your cheque payable to "Close Asset Management (UK) Limited".

5. Income – please indicate where you would like your dividends to be paid by ticking the appropriate box

Dividend re-investment options (income units only)

Re-invest dividends

Pay dividends to my Close Cash Account

Pay dividends to my nominated bank account

Pay dividends to my Product Cash Account

6. Payment and withdrawal details

Bank details

Name of account holder

Account number/building society number

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Bank or building society name and address

Branch sort code

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Postcode

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7. Notes

If you have any additional information which is relevant to your investment, please give details in the box below.

8. Reporting

Agent's stamp and signature

We confirm that we have verified the client(s) for money laundering purposes in line with the UK Money Laundering Regulations and JMLSG Guidance.

Furthermore, we confirm that the client(s) has/have been verified via documentary evidence and that the client(s) is / are applying on their own behalf.

Agent's Stamp (to be completed by agent if appropriate)

FCA reference number

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Data Protection

Your personal data will be held by or on behalf of Close Asset Management (UK) Limited in accordance with current data protection law for the purposes of carrying out our agreement with you.

Close Asset Management (UK) Limited will not share your personal data with any third parties for marketing purposes without your explicit consent to do so.

If you would like to know more about how we process your data, please see our Privacy Notice at www.closebrothersam.com/legal or contact our Data Protection Manager by email at cbamdpm@closebrothers.com

Close Brothers Asset Management investment options - please tick the appropriate box or complete details where necessary.

Date of original subscription (if not known write NK)	Name of transferring ISA plan manager (if not known write NK)	Type of plan being transferred from outgoing manager	Is the transfer in cash or in specie?	Fund(s) to be invested in	Unit type	Fund range to be invested in	Is the transfer?	Approximate value of transfer £									
			Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
07/05/2003	ABC ISA Managers	Cash		3					3		3					3	£25,000
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	
		Cash	Cash	In Specie	Bl	DI	Co	B	G	INC	ACC	M	P	TS	Part	Full	

Key to abbreviations:

Bl = Bond income DI = Diversified Income Co = Conservative B = Balanced G = Growth M = Managed P = Portfolio TS = Tactical Select

External investment options - please tick the appropriate box or complete details where necessary.

Date of original subscription (if not known write NK)	Name of transferring ISA plan manager (if not known write NK)	Type of plan being transferred from outgoing manager	Is the transfer in cash or in specie?	Fund(s) to be invested in	Unit type	Sedol number	Is the transfer?	Approximate value of transfer £	
			Cash	In Specie	Fund name	INC	ACC	Part	Full
		Cash	Cash	In Specie	Fund name	INC	ACC	Part	Full
		Cash	Cash	In Specie	Fund name	INC	ACC	Part	Full
		Cash	Cash	In Specie	Fund name	INC	ACC	Part	Full
		Cash	Cash	In Specie	Fund name	INC	ACC	Part	Full

10. Declaration and signature for Unit Trust/OEIC applications

Declaration to be completed by all applicants.

This is our standard client application form for the Unit Trust / OEIC funds upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

I declare that:

- To the best of my knowledge and belief, the information I provide is true and correct and I will notify Close Asset Management (UK) Limited of any changes;
- I understand the risk of investments and this investment represents a small percentage of my total assets;
- I wish to invest the sum shown in Units in the Fund(s);
- I am over 18 years of age;
- I am not a US person or investing on behalf of a US person;
- Close Asset Management (UK) Limited and its administrators are authorised to use the information provided by me for the purposes of verifying my identity in accordance with the Money Laundering Regulations, including using a licensed reference agency;
- I have read the information contained in this form and the Fund prospectus and request Close Asset Management (UK) Limited to act in accordance with my instructions;
- A copy of the Key Investor Information Document has been supplied to or made available to me and I acknowledge I have read it;
- I understand that this application is made on the basis of the full Prospectus, a copy of which has been made available to me;
- I confirm that I have read the Prospectus; including the provisions in relation to Close Asset Management (UK) Limited's use of 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. I hereby consent to Close Asset Management (UK) Limited making use of the Delivery versus Payment exemption as set out in the relevant section of the Prospectus. I am aware that in the event that Close Asset Management (UK) Limited becomes insolvent or otherwise fails, there is a risk of loss or delay in the return of any money held by Close Asset Management (UK) Limited that is not treated as 'client money' as a result of Close Asset Management (UK) Limited's use of the Delivery versus Payment exemption. There would also be no guarantee that all or any of the money would be returned to me.
- I understand that as required by the Money Laundering Regulations I may be asked to provide evidence of identity and that the failure to provide such evidence within a reasonable time will lead to the sale of any Units purchased and the return of my proceeds (which may be less than the original investment amount).

Print name (in BLOCK CAPITALS)										Print name (in BLOCK CAPITALS)									
Signature – Applicant 1 – Main account holder										Signature – Applicant 2									
X										X									
Date										Date									

11. Declaration and signature for ISA Application - Applicant 1

I apply to subscribe for a stocks and shares ISA for the tax year

and declare that:

All subscriptions made, and to be made, belong to me;

- I am 18 years of age or over;
- I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a Cash ISA and a Stocks and Shares ISA in the same tax year;
- I have not subscribed, and will not subscribe, to another Stocks and Shares ISA in the same tax year that I subscribe to this Stocks and Shares ISA and;
- 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 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 Close Asset Management (UK) 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.

I authorise Close Asset Management (UK) Limited:

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
- To make on my behalf any claims to relief from tax in respect of ISA investments;
- On my request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

Print name (in BLOCK CAPITALS)

I apply to Close Asset Management (UK) Limited to operate the ISA. I confirm that I have read and agreed to the ISA Terms and Conditions, contained in the General Terms and Conditions of which this application forms part and I request that any subscription be invested as detailed in this form, or as directed from time to time.

I declare that the information in this application form is correct to the best of my knowledge and belief:

- I am willing for the Company, and anyone authorised by the Company to call on me by telephone, visit, or otherwise communicate on with me at all reasonable times for the purposes of or in connection with the Service or other services offered by the Company or an associate;
- I have read the risk warnings set out in the Terms and Conditions and Key Features Document or Key Investor Information Document.

If you wish to opt out of the Close online service, please tick the box

This service is provided in accordance with our Terms and Conditions that we intend to rely on. For your own benefit, and protection, you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

Close Brothers Asset Management will hold, process and protect your personal information in the course of our business and services, as previously notified to you in your Terms and Conditions. Please refer to these Terms and Conditions for further information. By signing this form you consent to us the use of your personal information as set out in this statement.

In order to confirm these declarations and authorisations and to accept these terms and to clarify that certain powers are being conferred on the Company, please sign below.

Signature

X

Date

D	D	/	M	M	/	Y	Y
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Close Asset Management (UK) Limited
 PO Box 367
 Darlington
 DL1 9RG

Please complete this form in BLOCK CAPITALS and in black ink.

Instruction to your bank or building society to pay by Direct Debit.

Please pay Close Asset Management (UK) Limited from the account detailed in this instruction subject to the safeguards assured Direct Debit Guarantee. I understand that this instruction may remain with Close Asset Management (UK) Limited and, if so, details will be passed electronically to my bank/building society. Banks and building societies may not accept Direct Debit instructions for some types of accounts.

Name(s) of account holder – third parties are not accepted

Service User Number

916307

Bank/building society account number

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Reference

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Branch sort code

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Name and full postal address of your bank or building society

To: The Manager

Postcode

Instructions to your bank or building society

Please pay Close Asset Management (UK) 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 Close Asset Management (UK) Limited and, if so, details will be passed electronically to my bank/building society.

Print name (in BLOCK CAPITALS)

Print name (in BLOCK CAPITALS)

Signature
X

Signature
X

Date			/			/		
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Date			/			/		
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Please retain this guarantee for your records.

The Direct Debit Guarantee



- This guarantee is offered by all banks and building societies that accept instructions to pay by Direct Debit.
- If there are any changes to the amount, date or frequency of your Direct Debit, Close Asset Management (UK) Limited will notify you 10 business days in advance of your account being debited or as otherwise agreed. If you request Close Asset Management (UK) Limited to collect a payment, confirmation of the amount and the 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 Close Asset Management (UK) 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 Close Asset Management (UK) 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 notify us.

