

# SVM FUNDS ICVC DIRECT INVESTMENT INDIVIDUALS APPLICATION FORM



Please complete this form in BLOCK CAPITALS and return it to your financial adviser or send it to **SVM Asset Management Limited, PO Box 11967, Chelmsford CM99 2DS**. If you have any queries about the completion of this form please consult your financial adviser, or telephone 0345 066 1110. Alternatively you can visit our website at [www.svmonline.co.uk](http://www.svmonline.co.uk).

## Personal Details

<table border="0"> <tr> <td style="width: 20%;">Title</td> <td>Surname</td> </tr> <tr> <td colspan="2">Forename(s) in full</td> </tr> <tr> <td colspan="2">Date of birth*</td> </tr> <tr> <td>D D</td> <td>M M Y Y</td> </tr> <tr> <td colspan="2">National Insurance number*</td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> If you do not have a National Insurance number, please tick this box         </td> </tr> <tr> <td colspan="2">Permanent residential address</td> </tr> <tr> <td colspan="2">Postcode</td> </tr> <tr> <td colspan="2">Designation (if required)</td> </tr> <tr> <td colspan="2">Countries you are a tax resident in, or have been a resident of, in the past two years</td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> If you are not resident for tax purposes in any country, please tick this box. Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances we may be obliged to share information about your account with HMRC. Please ensure you notify us if your tax residency changes. If you have any questions about your tax residency, please contact your tax advisor.         </td> </tr> </table>	Title	Surname	Forename(s) in full		Date of birth*		D D	M M Y Y	National Insurance number*		<input type="checkbox"/> If you do not have a National Insurance number, please tick this box		Permanent residential address		Postcode		Designation (if required)		Countries you are a tax resident in, or have been a resident of, in the past two years		<input type="checkbox"/> If you are not resident for tax purposes in any country, please tick this box. Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances we may be obliged to share information about your account with HMRC. Please ensure you notify us if your tax residency changes. If you have any questions about your tax residency, please contact your tax advisor.		<table border="0"> <tr> <td>Existing customer reference number (if any)</td> </tr> <tr> <td>Email address (for monthly fund updates - we do not send account details by email)</td> </tr> <tr> <td>*Important details required by the HMRC. You should be able to find your National Insurance number on a payslip, forms P45 or P60, a letter from HMRC, a letter from DWP, or a pension order</td> </tr> <tr> <td>Tax identification number</td> </tr> </table>	Existing customer reference number (if any)	Email address (for monthly fund updates - we do not send account details by email)	*Important details required by the HMRC. You should be able to find your National Insurance number on a payslip, forms P45 or P60, a letter from HMRC, a letter from DWP, or a pension order	Tax identification number
Title	Surname																										
Forename(s) in full																											
Date of birth*																											
D D	M M Y Y																										
National Insurance number*																											
<input type="checkbox"/> If you do not have a National Insurance number, please tick this box																											
Permanent residential address																											
Postcode																											
Designation (if required)																											
Countries you are a tax resident in, or have been a resident of, in the past two years																											
<input type="checkbox"/> If you are not resident for tax purposes in any country, please tick this box. Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances we may be obliged to share information about your account with HMRC. Please ensure you notify us if your tax residency changes. If you have any questions about your tax residency, please contact your tax advisor.																											
Existing customer reference number (if any)																											
Email address (for monthly fund updates - we do not send account details by email)																											
*Important details required by the HMRC. You should be able to find your National Insurance number on a payslip, forms P45 or P60, a letter from HMRC, a letter from DWP, or a pension order																											
Tax identification number																											

## Personal Details – for joint holders

Please only complete the following if your direct investment into the SVM Funds ICVC is to be held in joint names.

<b>Applicant 1</b>	
Title	Surname
Forename(s) in full	
Permanent residential address	
Date of birth*	
D D	M M Y Y Y Y
Postcode	
Tax identification number	
Countries you are a tax resident in, or have been a resident of, in the past two years	
<b>Applicant 2</b>	
Title	Surname
Forename(s) in full	
Permanent residential address	
Date of birth*	
D D	M M Y Y Y Y
Postcode	
Tax identification number	
Countries you are a tax resident in, or have been a resident of, in the past two years	

For additional holders, please complete the details separately and include with this form.

**IMPORTANT: You must read and complete the declaration and signature box(es) overleaf before returning this form**

## Beneficial Owners (if different from Applicants)

### Beneficial Owner 1

Title	Surname
Forename(s) in full	
Permanent residential address	

Date of birth\*

D	D	M	M	Y	Y
---	---	---	---	---	---

Postcode

### Beneficial Owner 2

Title	Surname
Forename(s) in full	
Permanent residential address	

Date of birth\*

D	D	M	M	Y	Y
---	---	---	---	---	---

Postcode

## Investment Details

Funds	Lump Sum	Monthly
SVM All Europe SRI Fund	£	£
SVM Continental Europe Fund	£	£
SVM UK Growth Fund	£	£
SVM UK Opportunities Fund	£	£
SVM World Equity Fund	£	£
<b>Total</b>	£	£

Please indicate the Fund(s) you wish to invest in and the method you wish to use, together with the amount.

**Lump Sum:** The minimum investment is a total of £1,000 that can be invested into any of the funds, with a minimum of £200 per fund selected.

**Monthly:** The minimum investment is £50 per fund. There is no maximum limit. Please complete the Direct Debit section. **Your first payment must be made by a personal Sterling cheque and must be from the same account the monthly contribution will be made from.** Sterling cheques should be payable to 'SVM Asset Management Ltd'.

## Share Class Selection

Please read this section carefully; it is important you select the correct share class for you. If you select the wrong share class there may be administrative costs if you request a correction.

**Class A Shares** are intended for direct investment by retail investors who have not taken advice from an investment professional. The minimum investment is £1,000.

I wish to invest into the **Class A shares**.

**Class B Shares** are intended for institutional investors and investors who have received advice in relation to their investment. No commission or initial charge is payable on Class B Shares. The minimum initial investment amount for Class B Shares is £250,000. However if you invest through a Financial Adviser this will be discounted to £1,000.

I wish to invest into the **Class B shares**.

## Agent/Financial Adviser Only

Intermediary's stamp

(To be completed by the Intermediary if appropriate. By placing your details here and by placing business with us, you are confirming that you have received, read, understood and are bound by our terms of business.)

FCA number

## Declaration

- **I/We declare** that I am over 18 years of age and that this application form has been completed to the best of my knowledge and belief.
- **I/We understand** that you may require additional information from me in accordance with the Money Laundering Regulations.
- **I/We have read and agree to be bound by the Key Investor Information Document(s) and Supplementary Information Document (incorporating the terms and conditions relating to this investment).**
- **I/We agree** to inform you of any changes in my circumstances.
- **I/We enclose a Sterling cheque made payable to 'SVM Asset Management Ltd'**
- **I/We confirm** I am not a US citizen or a resident in US or any of its dependencies and have not been so within three years and that I am not liable to pay US tax. I further confirm that I am not making this investment on behalf of any US citizen or any person resident in US or any of its dependencies or who has been so resident within three years. I undertake to advise you immediately if any of the foregoing statements cease to be correct and understand that my investment in the Funds may require to be redeemed forthwith.
- **I/We understand and agree** that information about me may be obtained from credit reference and fraud prevention agencies to verify my identity.

**I/We confirm that I have read the latest Key Investor Information Document relating to each of the Funds selected.**

**Note: FAILURE TO TICK THIS BOX COULD RESULT IN YOUR APPLICATION BEING REJECTED DUE TO LEGAL REQUIREMENTS TO OBTAIN THIS CONFIRMATION FROM YOU.**

Signature	Date
Signature	Date
Signature	Date

**The signatories confirm they are the beneficial owners and the investment is for them.**

**Important Note:** In order to comply with the Money Laundering Regulations, please supply either:

- a personal Sterling cheque which matches the name on the application form; or
- a UK Bank/Building Society cheque endorsed with your name to show that you are the account holder.

A cheque drawn on an intermediary's account must be sent with a certificate from that person verifying your identity. If a Sterling cheque from a third party is supplied, the Administrator may request documentation to verify your identity and that of the third party or the application may be rejected.

The most recent Key Investor Information Documents, Report & Accounts, Factsheets and Supplementary Information Document for the Funds are available at [www.svmonline.co.uk](http://www.svmonline.co.uk). If you would prefer to receive a printed copy please call our Fund Information line on 0800 0199 440 or write to the Marketing Department, SVM Asset Management Limited, 7 Castle Street, Edinburgh EH2 3AH.

**The completed application form, together with your Sterling cheque, payable to SVM Asset Management Ltd, should be returned to: SVM Asset Management Limited, PO Box 11967, Chelmsford, CM99 2DS.**

If you are investing monthly, please note that a personal Sterling cheque is required for your first payment and must be from the same account that the monthly contributions will be made from. Your application cannot be processed without it.

## Bank Details

We can make redemptions directly to your bank account. The bank account must be the same as the account you used to pay into the investment. If we are unable to verify your bank account, we will make payments by cheque.

Name of Bank	<input type="text"/>
Bank address	<input type="text"/>
	<input type="text"/>
Postcode	<input type="text"/>
Bank account number	<input type="text"/>
Branch sort code	<input type="text"/>
Name(s) of account holder(s)	<input type="text"/>

## Data Protection

### Using your personal information

SVM Asset Management Ltd, as a data controller, will handle all your personal information in accordance with the Data Protection Act 2018 and General Data Protection Regulations.

Personal information provided by you will be held in confidence by SVM Asset Management Limited and its agents and will not be passed on to anyone except where we or any third party acting on our behalf are legally compelled or permitted to do so otherwise as agreed with you.

### Keeping you informed

We would like to use your personal information to enable us to keep in touch and to send you other information which we think may be of interest to you. Such information could include our monthly 'news and views' email. Under data protection legislation we require your explicit consent to use your personal information for these purposes. If you would like us to keep you informed in this way, please tick the box below.

I consent to SVM using my personal information to keep in touch and to send me other information which may be of interest to me, such as your monthly 'news and views' email (please tick the box).

If at any time you change your mind, please let us know by emailing us at [info@svmonline.co.uk](mailto:info@svmonline.co.uk). For full details of how we use your personal information please refer to our Privacy Policy on our website.

Calls to SVM are recorded for training and monitoring purposes.

SVM Asset Management is authorised and regulated by the Financial Conduct Authority. Issued April 2022.

## Instruction to your Bank or Building Society to pay by Direct Debit



Please fill in the whole form using a ball point pen and send to:

SVM Asset Management Limited  
 PO Box 11967,  
 Chelmsford CM99 2DS

Service user number

**2 8 4 1 9 4**

Reference – Office use only

Name and full postal address of your bank or building society

To: The Manager (Bank/Building Society)

Address

Postcode

Instruction to your Bank or Building Society

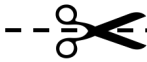
Please pay SVM Asset Management Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with SVM Asset Management Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signature(s)

Name(s) of account holder(s)

Building society account number  Date

Banks and Building Societies may not accept Direct Debit instructions



This guarantee should be detached and retained by the payer.



## The Direct Debit Guarantee

- 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 SVM Asset Management Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request SVM Asset Management 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 SVM Asset Management 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 SVM Asset Management 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.