SVM FUNDS ICVC DIRECT INVESTMENT
CORPORATE APPLICATION FORM

svm INDEPENDENT THINKING

This Application Form is for Corporate, Nominee and Non-Individual Investors

Please complete this form in BLOCK CAPITALS and send to **SVM Asset Management Limited, PO Box 11967, Chelmsford CM99 2DS.** If you have any queries about the completion of this form please telephone 0345 066 1110. Alternatively you can visit our website at www.svmonline.co.uk

Type of Organisation

Understanding the legal form of your organisation will assist in ensuring that appropriate information to open your account is provided at the earliest opportunity, helping to prevent delays in the completion of your application.

Registered holders mush have a legal personality. If your organisation is an unincorporated organisation, the account will be registered in

- ☐ Listed Public Company
  Please complete section 1
- ☐ UK/EU/EEA Regulated Company
  Please complete section 1
- ☐ Non UK/ EU/EEA Regulated Company
  Please complete section 2
- ☐ Nominee (owned by Regulated Parent)
  Please complete section 1
- ☐ Nominee (owned by Unregulated Parent)
  Please complete section 1
- ☐ Private Company (including Limited Liability Partnership)
  Please complete section 3
- ☐ Incorporated Registered Charity
  Please complete section 3
- ☐ Local Authority Pension Scheme
  Please complete section 7
- ☐ UK Churches and Place of Worship
  Please complete section 6
- ☐ Parochial Church Councils
  Please complete section 6
- ☐ Public Sector Bodies/Local Authority
  Please complete section 7
- ☐ Independent School/College/University
  Please complete section 7
- ☐ Sovereign Wealth Fund
  Please complete section seven

The following organisations will be registered in the name of the Trustees/Legal Owners

- ☐ Registered Personal Pension Scheme
  Please complete section 4
- ☐ Registered Occupational Pension Scheme
  Please complete section 4
- ☐ SSAS
  Please complete section 4
- ☐ Trust
  Please complete section 5
- ☐ Unincorporated Registered Charity
  Please complete section 5
- ☐ Unregistered Charity
  Please complete section 5
- ☐ Partnership
  Please complete section 6
- ☐ Club/Society
  Please complete section 6

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

SVM INDEPENDENT THINKING

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	£	£
Total	£	£

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 £100 per month, with a minimum of £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

SVM INDEPENDENT THINKING

1. Listed, Regulated and Nominee Companies

A) About the organisation

Organisation name (account will be registered in this name)

Existing customer reference number (if any)

Registered address

Telephone

Postcode

Designation (if required)

Business or correspondence address (if different from above)

Postcode

☐ The applicant/organisation is investing its own funds

☐ The applicant/organisation is investing on behalf of another individual(s) or organisation/entities, e.g. by acting as a nominee, distributor or custodian

Please confirm the nature of relationship

Name of regulated parent company (non-regulated nominees only)

Regulatory authority and regulatory reference number

B) Beneficial owners and senior management

<u>Listed companies of subsidiaries of listed companies</u>

If your company is a listed company or a majority-owned and consolidated subsidiary of a listed company you do not need to complete the beneficial owner section (Part B). If this applies, please provide the name of the exchange and security identifier/code for the listed company:

<u>Any other companies</u>

If your organisation is any other type of company (i.e. not a listed company or a subsidiary of a listed company), please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)

☐ Any other people exercising control over the company (if applicable)

☐ Board of Directors or equivalent

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

☐ Completed Wolfsberg questionnaire

☐ Completed beneficial owners and senior management details (Part B, if applicable)

☐ Regulated parent comfort letter/letter of assurance (non-regulated nominees only)

☐ Authorised signatory list

☐ Group structure chart (if applicable)

2. Non EU or EEA regulated firms

A) About the organisation

Organisation name (account will be registered in this name)

Registered address

Postcode

Business or correspondence address (if different from above)

Postcode

Existing customer reference number (if any)

Telephone

Designation (if required)

B) Beneficial owners and senior management

Listed companies of subsidiaries of listed companies

If your company is a listed company or a majority-owned and consolidated subsidiary of a listed company you do not need to complete the beneficial owner section (Part B). If this applies, please provide the name of the exchange and security identifier/code for the listed company:

Any other companies

If your organisation is any other type of company (i.e. not a listed company or a subsidiary of a listed company), please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the company (if applicable)
- ☐ Board of Directors or equivalent

C) Supporting documentation

If the applicant or the parent company of a nominee company is not regulated in the UK, EU or EEA, please provide the following additional information.

- ☐ Proof of regulation
- ☐ Certificate of incorporation or equivalent
- ☐ Constitutional document, e.g. memorandum and articles of association, byelaws, articles of incorporation or equivalent

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- ☐ Completed Wolfsberg questionnaire
- ☐ Completed beneficial owners and senior management details (Part B, if applicable)
- ☐ Regulated parent comfort letter/letter of assurance (non-regulated nominees only)
- ☐ Authorised signatory list
- ☐ Group structure chart (if applicable)

3. Private Companies (including LLPs, unlisted public companies and incorporated charities)

A) About the organisation

Organisation name (account will be registered in this name)

Existing customer reference number (if any)

Registered address

Telephone

Designation (if required)

Postcode

Business or correspondence address (if different from above)

Postcode

If your organisation has charitable aims please provide the following information:

Charity registration number

Description of aims and activities

Countries of operation

B) Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the company (if applicable)
- ☐ Board of Directors or equivalent
- ☐ The signatories to this application form (if not already listed)
- ☐ Trustees (charities only)

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- ☐ Certificate of incorporation or equivalent document
- ☐ Constitutional document, e.g. memorandum and articles of association, partnership agreement, byelaws or equivalent
- ☐ Completed beneficial owners and senior management details (Part B)
- ☐ Authorised signatory list
- ☐ Group organisation structure chart (if the organisation is a subsidiary of another company)

INDEPENDENT THINKING

4. Registered pension schemes (including Occupational Pension Scheme, Personal Pension Scheme and SSAS)

A) About the organisation

Pension Scheme (account will be registered in name of Trustees in Part B)

Existing customer reference number (if any)

Registered address

Telephone

Postcode

Designation (if required)

Business or correspondence address (if different from above)

PSTR number (if applicable)

Postcode

If investing on behalf of an occupational pension scheme, please confirm the name of the employer or company which the scheme is linked to

Please confirm if the following statements apply to your scheme:

- [ ] Contributions are made by an employer or by deduction from an employee's wages
- [ ] The scheme rules do not permit the assignment of a member's interest under the scheme

B) Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- [ ] Trustees or equivalent (including corporate trustees) (Part B)
- [ ] Scheme beneficiaries
- [ ] Board of Directors or equivalent

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- [ ] Letter proving HMRC or pensions regulator scheme approval e.g. approval letter, scheme submission receipt or scheme certificate
- [ ] Details of individual trustees or trust company in whose name the account will be registered
- [ ] Authorised signatory list
- [ ] Completed beneficial owners and senior management details (Part B)
- [ ] Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)

INDEPENDENT THINKING

5. Trusts or Unincorporated Registered Charities and Unregistered Charities

A) About the organisation

Existing customer reference number (if any)

Telephone

Postcode

Designation (if required)

Postcode

If your organisation has charitable aims please provide the following information:

Charity registration number

Description of aims and activities

Countries of operation

If not, please complete the below:

Type of trust (will trust, discretionary trust, etc.)

Nature and purpose of the trust

Country of establishment

B) Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Trustees or equivalent (including corporate trustees)
- ☐ Beneficiaries (including a class of beneficiary)

For Trusts only:

- ☐ Protector(s) or any other individuals who have control over the trust
- ☐ Settlor(s)

If a corporate trustee has been appointed, please also include:

- ☐ Individuals holding 25% or more of the corporate trustee's share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the corporate trustee (if applicable)

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- ☐ The organisation's constitutional document (e.g. extract of the trust deed)
- ☐ Details of individual trustees and/or trust company in whose name the account will be registered
- ☐ Deeds of appointment and retirement of subsequent trustees (if applicable)
- ☐ Authorised signatory list (applicable to trust companies only)
- ☐ Completed beneficial owners and senior management details (Part B)
- ☐ Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)

6. Partnerships, Clubs, Associations, Churches or other organisations

A) About the organisation

Organisation name (account will be registered in the name of Directors/ Members/Partners in Part B)

Existing customer reference number (if any)

Registered address

Telephone

Postcode

Designation (if required)

Postcode

Provide details of the type and purpose of the organisation

B) Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- [ ] Partners, directors, committee members or equivalent
- [ ] Any other person who exercises ultimate control over the management of the organisation

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- [ ] Partnership agreement or constitutional document
- [ ] Details of individual directors, partners, members, trustees etc. in whose name(s) the account will be registered
- [ ] Completed beneficial owners and senior management details (Part B)

7. Government department, Sovereign Wealth Fund, Local Authority, Public Sector Pension Scheme and Independent Schools/College/University

A) About the organisation

Organisation name (account will be registered in this name)

Registered address

Postcode

Business or correspondence address (if different from above)

Postcode

Provide details of the type and purpose of the organisation

Existing customer reference number (if any)

Telephone

Designation (if required)

Country of operation

B) Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Directors, executive committee members/representatives or equivalent
- ☐ The most senior person within the organisation (state the capacity as 'most senior person')
- ☐ Any other individuals exercising significant control
- ☐ The signatories to this application form (if not already listed)

C) Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application

- ☐ Authorised signatory list
- ☐ Completed beneficial owners and senior management details

PART B Beneficial Owners and Senior Management

Non-Individual (e.g. Corporate Trustee)

Business name

Capacity and percentage ownership (if applicable)

Business address

Postcode

Title | Surname | Forename(s)

Capacity and percentage ownership (if applicable)

Postcode

Individual 1

Title | Surname | Forename(s)

Permanent residential address

Capacity and percentage ownership (if applicable)

Postcode

Title | Surname | Forename(s)

Capacity and percentage ownership (if applicable)

Postcode

Individual 2

Title | Surname | Forename(s)

Permanent residential address

Capacity and percentage ownership (if applicable)

Postcode

Individual 3

Title | Surname | Forename(s)

Capacity and percentage ownership (if applicable)

Postcode

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

Signature	Date
Signature	Date
Signature	Date
Signature	Date
Signature	Date

OBTAIN THIS CONFIRMATION FROM YOU.
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:
(i) a personal Sterling cheque which matches the name on the application form; or
(ii) 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. 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.

Bank Details

All future withdrawal proceeds will be sent to the below details once appropriately verified.
The bank account must be held in the name of, or on behalf of, the investing organisation.

Name of Bank	
Bank address	
	Postcode
Bank account number	☐☐☐☐☐☐☐☐
Branch sort code	☐☐ - ☐☐ - ☐☐
Name(s) of account holder(s)	

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. 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 November 2019.