

# Private Investors

## Application Form

This Application Form is designed for private investors domiciled in the United Kingdom (UK) wishing to invest directly into Threadneedle Funds. Do not use this form if you are an institutional investor. Forms for institutional investors are available at [www.columbiathreadneedle.com](http://www.columbiathreadneedle.com).

Terms used in the Prospectus have the same meaning given to them in this Application Form.

This Application Form and the terms of the Prospectus apply to any orders you place from time to time in one of our funds, but if there is any conflict between this Application Form and the Prospectus, the terms of the Prospectus will override all other terms. The Terms and Conditions relating to your orders will also apply.

Please do not use this form if you wish to invest in Threadneedle Funds through a new ISA. Separate application forms are required for the Threadneedle Stocks and Shares ISAs and Threadneedle Junior ISAs. These are available from our website at [www.columbiathreadneedle.com](http://www.columbiathreadneedle.com).

For details of the countries in which Threadneedle Funds are available, please refer to the Prospectus, which can be found on our website. Please note that Threadneedle Funds are not available to US investors.

### Eligibility if you wish to invest in the Threadneedle Property Authorised Investment Fund

Property Authorised Investment Funds are a type of tax-efficient property fund which benefits tax-exempt investors. For the majority of investors, at the time of going to print, Threadneedle Investment Services Limited (Threadneedle) believes that the PAIF may be the preferred option compared with the Threadneedle PAIF Feeder Fund. The Threadneedle PAIF Feeder Fund is primarily designed for large corporate investors and those investors who are not able to invest in the Threadneedle PAIF but who still wish to gain exposure to Columbia Threadneedle Investments' property expertise.

Not all types of investor are eligible or able to invest directly in a PAIF. In particular, a company or other body corporate is subject to a maximum holding limit of under 10% of a PAIF, whether held directly in its own name or via a third party (other than nominee companies holding units for non-Body Corporate investors). Please speak to your financial adviser if you require advice. In order to avoid a breach of this provision, we impose a lower maximum holding limit of 9.5% of the value of the Threadneedle PAIF and we require any corporate investor exceeding this limit to reduce their holding to 7% (or less) of the value of the Threadneedle PAIF.

### Which section is applicable to you?

All investors should complete the following sections:

- Section 1 (Investor details)
- Section 2 (Threadneedle Funds you want to invest in)
- Section 3 (How to invest)
- Section 4 (Your investment income)
- Section 7 (Declarations)
- If you do not have a financial adviser, you must provide the information requested in section 5 (Client identification)
- If you have a financial adviser, the financial adviser should complete section 6 (Financial advisers to complete)

## **Completing this form**

Before completing this Application Form, please make sure you have read the current Key Investor Information Document (KIID) and/or non-UCITS retail scheme Key Investor Information Document (NURS-KII) for the Threadneedle Fund you are thinking of investing into. KIIDs and NURS-KIIs are available at [www.columbiathreadneedle.com](http://www.columbiathreadneedle.com). Please note that you will need to complete a new Application Form if you are an existing investor but wish to invest in a different Threadneedle Fund to the Threadneedle Fund you are already invested in. However, if you are already a client of Threadneedle and you only wish to top-up your investment, you do not need to complete this Application Form, and you can invest further by contacting the Client Services Team, details of which are set out overleaf. In order to ensure that we have up-to-date information about you, you may be asked to reconfirm some of the information you have already provided to us.

## **Anti-money laundering and client identification**

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks upon the creation of a new account for you and to ensure that the information we hold on file for you is up-to-date.

If you have a financial adviser, your verification checks can be conducted by them and they should then complete section 6 of this form before it is given to us.

If you are applying directly without a financial adviser you will need to complete section 5 (Client identification) for yourself and each joint investor (where applicable) so we can complete the necessary checks.

Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

## **How to contact us**

Our Client Services Team will assist you with the purchase, switch/conversion or sale of shares or units in Threadneedle Funds and general administrative queries about dealing.

Notices, letters or other documents you want to send to the Client Services Team must be sent to:

Postal address: Threadneedle Investment Services Limited, PO Box 10033, Chelmsford, Essex, CM99 2AL Telephone (dealing & customer queries): 0800 953 0134

Email (enquiries): [questions@service.columbiathreadneedle.co.uk](mailto:questions@service.columbiathreadneedle.co.uk) Please note that calls may be recorded.

Please send your signed and completed Application Form and client identification documents to us to one of the postal addresses set out above.

## **What to do if you have any questions**

If you have any questions about the suitability of your investment, please speak to your financial adviser. Threadneedle Investment Services Limited does not give financial advice, but if you have any general queries about this Application Form, please call our Client Services Team.

## SECTION 1

INVESTOR DETAILS	
Please complete in BLOCK LETTERS using INK	
Personal details – Individual investors	
Name of First Applicant/Investor 1	
Title (Mr, Mrs, Miss, Other)*	
First name*	
Surname*	
Permanent residential address*	
Postcode*	
Telephone*	
Mobile	
Email address	
Date of birth*	dd / mm / yyyy
Existing client reference	

Name of Second Applicant/Investor 2 (if applicable)	
Title (Mr, Mrs, Miss, Other)*	
First name*	
Surname*	
Permanent residential address*	
Postcode*	
Telephone*	
Mobile	
Email address	
Date of birth*	dd / mm / yyyy
Existing client reference	

Designation	
-------------	--

\*Please note that without this information we cannot process your application

**Investing on behalf of someone else**

Please tick one of the boxes below:

 I am applying for an investment that I will own solely for myself, and won't be holding it for someone else I am applying for an investment that I will hold for someone else, and have given their details below

If the beneficial owner(s) of the shares is/are not one of the investors above, then please give their full name(s) below:

Beneficial Owner	
Permanent residential address	
Postcode	
Date of birth	dd / mm / yyyy
Relationship	
Existing client reference	

Beneficial Owner	
Permanent residential address	
Postcode	
Date of birth	dd / mm / yyyy
Relationship	
Existing client reference	

If there are more than two investors, please put their details on a separate sheet and attach it to this form.

Please note: The other person you are investing for will not be able to make changes or give us instructions in relation to the investment you apply for using this form. You (the applicant) will legally own the investment and we'll only accept instructions from you.

**Investing on behalf of someone below 18 years**

We need to register the investment in the name of an adult. But if you are investing on behalf of a minor we can add a "designation" against the entry in the share register if you indicate this below (e.g. you can use the minor's initials).

 Yes, I am investing on behalf of a minor.

Designation	
-------------	--

**If you are applying jointly with other people**

If you are applying with other people, each other investor needs to give us information about them before investing in Threadneedle Funds. We can accept up to 4 people jointly holding an account, but no more. If applicable, please give us details of the 3<sup>rd</sup> person who will be a joint account holder below. If there is a 4<sup>th</sup> joint account holder, please put their details on a separate sheet and attach it to this Application Form.

Title (Mr, Mrs, Miss, Other)*	
First name*	
Surname*	
Permanent residential address*	
Postcode*	
Telephone	
Email address	
Date of birth*	dd / mm / yyyy
Existing client reference	

**Payment account details (these details are for settlement proceeds and income)**

Please provide your bank details below:

Account Holder:		
Bank / Building Society name and branch address		
Sort Code	Account No.	Building Society Ref. No
□□□ - □□□ - □□□	□□□□□□□□□□	□□□□□□□□□□□□□□□□

**Bank Verification**

We are able to pay redemption proceeds direct to your bank account upon receipt of correctly completed forms and satisfactory verification of your identity. Proceeds will be released 4 working days after the trade date. If you wish to have the proceeds paid by BACS, we require one of the following documents:

- A voided cheque
- An original bank statement (must be dated within the last 3 months)
- A giro or paying in slip for the bank account
- A letter from your bank confirming the bank details (must be dated within the last 3 months)

The documents must relate to the bank account that you wish to have the proceeds paid into, which must be your own bank account.

## Tax Residency

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>.

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.

Please complete the details below.

Investor	Date of Birth (dd/mm/yyyy)*:		Country/Countries of Tax Residency	Tax Identification Number *
Investor 1		1		
		2		
		3		
		4		
Investor 2		1		
		2		
		3		
		4		
Investor 3		1		
		2		
		3		
		4		
Investor 4		1		
		2		
		3		
		4		

- <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 and 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', 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 Identification Number' or 'Date of Birth'.

**SECTION 2**

**THREADNEEDLE FUNDS YOU WANT TO INVEST IN**

Please complete this section if you wish to invest directly in Threadneedle Funds (not through an ISA). If you wish to invest through an ISA, please complete the Threadneedle ISA Application Form, which can be found at [www.columbiathreadneedle.com](http://www.columbiathreadneedle.com).

Please fill in the table below to show the Threadneedle Funds you want to invest in and tell us how much you want to invest in each one.

**A few points to note**

- Minimum investment amounts apply to Threadneedle Funds. Please remember to check the Prospectus for details of minimum investments
- UK investors can invest a single lump sum, make monthly payments, or both
- For UK investors, the regular saver option means you want us to take amounts out of your bank account each month and invest it for you in the Threadneedle Funds that you have selected

Please refer to the relevant Fund Fact Sheet or Prospectus for further details, including lump sum minimum investment amounts and share/unit type availability for Threadneedle Funds.

**Eligibility for the Threadneedle UK Property Authorised Investment Fund**

PAIFs are a type of tax-efficient property fund which benefits tax-exempt investors. For the majority of investors, at the time of going to print, Threadneedle Investment Services Limited (Threadneedle) believes that the PAIF may be the preferred option compared with the Threadneedle PAIF Feeder Fund. The Threadneedle PAIF Feeder Fund is primarily designed for large corporate investors and those investors who are not able to invest in the Threadneedle PAIF but who still wish to gain exposure to Columbia Threadneedle Investments' property expertise.

Please use another sheet of paper if you need more space to list your choice of funds. If you are unsure about which share classes are available, please contact our Client Services Team.

<b>Name of Threadneedle Fund (e.g. UK Equity Income Fund)**</b>	<b>Lump Sum Amount</b>	<b>Amount in Words***</b>	<b>Regular Saver Amount (for UK investors only)*</b>	<b>ISIN (available in the KIID or NURS-KII)**</b>	<b>Type of Share e.g. net/income or accumulation**</b>	<b>Currency</b>

\*Please make sure you complete the direct debit mandate in section 3 if you would like to be a regular saver.  
 \*\*Mandatory field for completion.  
 \*\*\*Please ensure that you state currency in addition to amount.

### SECTION 3

#### HOW TO INVEST

##### Electronic payment

You should make your payment to the following account:

Client Money Receipts A/c: 16-50-50 - 53918127

Sort Codes: 30-16-35 (BACS and Cheque - Lloyds) 16-50-50 (TT/CHAPs - Natwest)

##### Cheque

You should make your cheque payable to Threadneedle Investment Services Limited. It must be drawn on your own (or a joint) personal bank account. We cannot accept cheques from any other person's bank account. If you wish to pay by banker's draft or building society cheque, please ask them to print your name on the back of the cheque.

#### Regular saver

You can elect to be a regular saver (instead of investing in one lump sum) by making monthly direct debit payments. We cannot accept payment from any other person's bank account.

##### Start date

(Payments will be made on the first working day of each month)

mm / yyyy

You will need to enclose a cheque for your first payment. You will also need to complete your account details for future regular payments.

The following minimum investments apply with respect to our regular saver facility:

- £2,000 lump sum payment by cheque for your first monthly subscription; and
- for subsequent monthly subscriptions by direct debit at a minimum of £100 per month

#### INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBITS

##### DIRECT DEBIT FOR MONTHLY INVESTMENTS

Please complete this Direct Debit so we can automatically collect your monthly investments from your bank account when payments are due.



Please fill in the whole form in ink using BLOCK CAPITALS and send it to: Threadneedle Investment Services Ltd, PO BOX 10033, Chelmsford, CM99 2AL

Name(s) of account holder(s):

Service User Number

Reference

Bank or Building Society account No.

Branch sort code  (from the top right hand corner of your cheque)

Name and full postal address of your Bank or Building Society

To: The Manager  
Bank or Building Society:

---

Address:

---

Postcode:

---

##### Instruction to your Bank or Building Society

Please pay Threadneedle Investment Services Ltd 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 Threadneedle Investment Services Ltd and, if so, details will be passed electronically to my Bank/ Building Society.

Signature(s):

---

Date:

---

Banks and Building Societies may not accept Direct Debit Instructions for some types of accounts.



## The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instruction to pay Direct Debits
- If there are any changes to the amount, date or interval of your Direct Debit GoCardless will notify you 3 working days in advance of your account being debited or as otherwise agreed. If you request GoCardless 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 GoCardless 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 GoCardless 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.

Please retain this Direct Debit Guarantee for your own records.



## SECTION 4

### YOUR INVESTMENT INCOME

Please note, if you have invested in income shares/units please choose from the following:

Please pay me all the income from my investment

Please reinvest my income by buying more shares/units for me

You may also wish to consider whether an accumulation share class is available for the Threadneedle Fund you have selected. Please speak to your financial adviser for advice.

Please note that:

- Income payments will be paid by Direct Credit (BACS) Transfer to the account detailed unless you specifically request us to make payments by sending a cheque to the address you have specified in Section 1
- If no bank account details or suitable account verification are provided, income will be reinvested, except where your investment represents a top up to an existing holding where income is already being paid
- If you elect to be paid your income but invest just before the ex-dividend date (the date as detailed in the relevant prospectus on which any income which is available is allocated to your shares), your first dividend may be re-invested rather than paid out to you



**CASHWITHDRAWAL FACILITY**

Please note that the cash withdrawal facility is only available to UK investors and is not available for all Threadneedle Funds. For details of which Threadneedle Funds the cash withdrawal facility is not available, please refer to the Terms and Conditions.

Tick here if you wish to make regular (monthly) cash withdrawals from your investments in Threadneedle Funds

Yes I wish to make regular cash withdrawals from my investments

Please tick one box to confirm what this instruction applies to:

All of the Threadneedle Funds I have chosen to invest in

Only the following Threadneedle Funds

Please tell us how much you wish to withdraw in total each year

A fixed amount each year

I would like to withdraw [£] \_\_\_\_\_ from my investment each year.

A percentage of the value of your investments each year (maximum 7.5% of all the investments you hold in Threadneedle Funds)

I would like to withdraw \_\_\_\_\_ % of the value of my investment each year.

**Additional payment account details for payment of income (optional)**

We will usually make payments to the bank account set out in section 1.

Tick here if you would like us to make your investment income and / or cash withdrawals that is different from the account in section 1.

Please provide full details below along with account verification (a crossed through personal cheque, a paying slip or an original or certified copy of your bank statement). This must be your own bank account. We will not make any payments to third parties.

Account Holder:

Bank / Building Society name and branch address

Sort Code

Account No.

Building Society Ref. No

<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	---	----------------------	---	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------

## SECTION 5

### CLIENT IDENTIFICATION

**We will require you to provide us with the documents below and send this with your completed form.**

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks.

Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

Please send your completed form and any relevant client identification documents to our Client Services Team.

We require documentation from each of the following sections, one to confirm your name and one to confirm your address. These must be separate documents:

ID	Address	Certification of documents
<ul style="list-style-type: none"> <li>– Current signed passport</li> <li>– Current signed UK/EEA photo card driving licence (a counterpart driving licence is NOT an acceptable document for AML purposes)</li> <li>– Current full UK driving licence (old version)</li> <li>– State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits. (dated within the last 12 months)</li> <li>– EEA Member state identity card</li> <li>– Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year. Not P45 or P60</li> <li>– Self-employed registration cards for construction industry (CIS3(partner), CIS4(P), CIS4(T), CIS5, CIS6)</li> <li>– Shotgun or Firearm certificate</li> <li>– Residence permit issued by the Home Office to EU Nationals</li> </ul>	<ul style="list-style-type: none"> <li>– Recent utility bill (not mobile phone bill). Must be dated within the last 3 months</li> <li>– Local authority tax bill, rent card or tenancy agreement (valid for current year)</li> <li>– Solicitor / Lawyer letter confirming a house purchase or land registry confirmation</li> <li>– Bank or credit card statement showing address within 3 months, not printed from the internet</li> <li>– State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits dated within the last 12 months (where not used as proof of ID)</li> <li>– Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year (where not used as proof of ID). Not P45 or P60.</li> <li>– Recent mortgage statement (dated within the last 12 months)</li> </ul>	<p>We can accept certification from the following list, where a non-family member:</p> <ul style="list-style-type: none"> <li>– Bank or building society official</li> <li>– Accountant</li> <li>– Doctor</li> <li>– Local Government official / councillor</li> <li>– Dentist</li> <li>– Police officer</li> <li>– Teacher / lecturer</li> <li>– Solicitor / Barrister</li> <li>– Notary public / Public Officer</li> <li>– Embassy / Consulate official</li> <li>– Director of limited company</li> <li>– Justice of the peace</li> <li>– MP</li> <li>– General / Colonel</li> <li>– Post Office Certification Service</li> <li>– Financial adviser or other agent</li> </ul>

It is strongly recommended that you do not send the original items of valuable personal identity such as passports, driving licences or benefits books to us. Instead, please arrange for copy documents to be certified.

All certification must be clear and visible on the document, and wherever possible, should appear on the front page. Certified documents should clearly bear the words “certified a true copy of the original”. The certifier must sign and print their name, including their designation and full address, and preferably their contact number. The certifier must also add the date of their certification.

We will accept documents that have not been certified on every page, e.g. legal documents, providing they are clear and complete.

## SECTION 6

FINANCIAL ADVISERS TO COMPLETE (applicable only if you have a financial adviser)											
Financial adviser details											
Adviser's name (firm name)											
Threadneedle Agent code (if known)											
FCA Number	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										

Client identification and account verification	
Type of Government-issued document (passport, driver licence):	
Reference/Serial number	
Issued by	
Date of issue	dd / mm / yyyy
Have you met the client in person? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Type of additional verification document (utility bill, credit card statement, bank statement):	
Reference/Serial number	
Issued by	
Date of issue	dd / mm / yyyy

Disclosure requirement	
Would you like us to provide product disclosure? Is the client entitled to cancellation rights?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Would you like us to send a hard copy of the contract note?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Adviser's signature	
Date of issue	dd / mm / yyyy

## SECTION 7

By signing this Application Form, you will be agreeing to be bound by it, including the Terms and Conditions and the KIID/NURS-KII (as the case may be) for the Threadneedle Funds you are investing in.

This Form will equally apply to any redemption or switching orders you place later on: please see the Terms and Conditions for more about redemption and switching.

Please check that the whole form has been completed and any information we have requested has been provided. If you don't sign below, if the form is incomplete, or if UK money laundering regulations require us to obtain more information, your application may be delayed or rejected.

### **Key Investor Information Document (KIID) / non-UCITS retail scheme Key Investor Information document (NURS-KII)**

Before signing this form, you must carefully read the current KIID and/or NURS-KII for the Threadneedle Funds you are investing in, as well as the Terms and Conditions attached to this form. Please also make sure you keep a copy of those documents and this Application Form (including the Terms and Conditions) for your records. If you don't understand any point please call our Client Services Team for further information.

### **Declarations**

I/We confirm that:

- I/we have read the Terms and Conditions attached to this Application Form
- I/we have read the KIID/NURS-KII relevant to the Threadneedle Fund I am/we are investing in
- I have read the Target Market for the Threadneedle Fund I am investing in
- The investments I am/we are making using this Application Form belong to me/us and I/we agree to be bound by the terms of this Application Form and the Terms and Conditions
- I am/we are over the age of 18
- I/we understand that Threadneedle Investment Services Limited may use an external agency to satisfy its UK money laundering requirements. The agency may record that an enquiry has been made
- I/we declare that the information provided on this Application Form is, to the best of my/our knowledge and belief, accurate and complete

### **Privacy**

We are committed to maintaining the personal data that you provide to us in line with data protection and data privacy legislation. The Privacy Statement contained in our Terms and Conditions and our Privacy Notice gives more information about this and sets out the purposes for which your data may be used and your data subject rights.

We and other companies in our group may use your personal information to keep you informed about investment products and services that you be interested in from time to time.

Please select if you would like to receive marketing communications by

Telephone/SMS	YES/NO
Email	YES/NO
Post	YES/NO

You have the right to change your marketing preferences at any time, please refer to the "How to contact us" section of this Form.

Note also that telephone calls from or to us may be recorded for monitoring or training purposes.

Signature			
	Signature	Name	Date
Applicant			dd / mm / yyyy
Joint Applicant 1 (if applicable)			dd / mm / yyyy
Joint Applicant 2 (if applicable)			dd / mm / yyyy
Joint Applicant 3 (if applicable)			dd / mm / yyyy

