

First Sentier Investors ICVC (the 'Company')



OEIC application form and dealing instruction for individual Investors

Minimum investment levels for our funds can be viewed in the Prospectus, fund Factsheets or are available on request.

Please read the key investor information document (KIID) for the class of shares you wish to invest in before completing this form.

Before completing this form, please read the statement on the use of customer information and also the Notes and Declaration. Please ensure that you complete all relevant sections on this form, including the reverse. (*Optional fields, in the case of daytime or evening telephone numbers at least one number must be provided). **Return the form to First Sentier Investors (UK) Funds Limited, PO BOX 404, Darlington, DL1 9UZ, UK, with your cheque for lump sum investments and/or completed direct debit mandate for regular savings; or telephone 0800 587 3388 (UK investors only) or +44 (0) 203 528 4102.** Terms defined in the prospectus of the Company ("Prospectus") shall, unless the context requires otherwise, bear the same meaning herein.

Important Information

Notes

1. No application (including any transfer application) or instruction to deal will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion. The Company, Administrator and the Distributor reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the purpose of anti-money laundering, counter terrorist financing and any other laws or regulations.
2. Guidance on the general verification documentation required in order to successfully complete an account opening is provided at the end of this form. Please note that this guidance information is not exhaustive and further documentation may be required in line with the above note.
3. All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Company.
4. If you sign this form and dealing instruction, you will be bound to pay for the shares within 4 business days of the valuation point.
5. Due to the closure of certain stock markets and regulated markets we invest in, a number of our funds may have additional non-dealing days, to align the days on which investors are able to subscribe, redeem and/or otherwise deal in a Fund with its ability to calculate the relevant net asset value and/or dispose of the relevant Fund assets.

If there are more than two joint applicants (up to a maximum of four) all names and addresses must be supplied and all applicants must sign the "Multi Applicant Addendum". All payments and correspondence will be sent to the first address unless you specify otherwise. Applicants must be over 18 years of age.

1A. Client details

Please provide your full name and address.

First applicant

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s) in full	<input type="text"/>		
Nationality	<input type="text"/>		
Citizenship (Please detail all countries of Citizenship)	<input type="text"/>		
Permanent address	<input type="text"/>		
	<input type="text"/>		
	Postcode		
Country	<input type="text"/>		
Correspondence address (if different from above)	<input type="text"/>		
	<input type="text"/>		
	Postcode		
Country	<input type="text"/>		
*Telephone (daytime)	Country Code	Area Code	Tel
*Telephone (evening)	Country Code	Area Code	Tel
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Birth	<input type="text"/>		
City/Town of Birth	<input type="text"/>		
National Insurance No.	<input type="text"/>		
(To be completed by Nationals/Citizens of the Isle of Man, Gibraltar, Jersey or Guernsey)			
Email address	<input type="text"/>		
Existing client no. (if applicable)	<input type="text"/>		
Designation	<input type="text"/>		

Second applicant

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s) in full	<input type="text"/>		
Nationality	<input type="text"/>		
Citizenship (Please detail all countries of Citizenship)	<input type="text"/>		
Permanent address	<input type="text"/>		
	<input type="text"/>		
	Postcode		
Country	<input type="text"/>		
Correspondence address (if different from above)	<input type="text"/>		
	<input type="text"/>		
	Postcode		
Country	<input type="text"/>		
*Telephone (daytime)	Country Code	Area Code	Tel
*Telephone (evening)	Country Code	Area Code	Tel
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Birth	<input type="text"/>		
City/Town of Birth	<input type="text"/>		
National Insurance No.	<input type="text"/>		
(To be completed by Nationals/Citizens of the Isle of Man, Gibraltar, Jersey or Guernsey)			
Email address	<input type="text"/>		
Existing client no. (if applicable)	<input type="text"/>		
Designation	<input type="text"/>		

1B. Adviser details (e.g.: adviser investing on behalf of his/her clients)

Name	<input type="text"/>		
Contact person (full name)	<input type="text"/>		
	<input type="text"/>		
Telephone	Country Code	Area Code	Tel
Email address	<input type="text"/>		
Existing client no. (if applicable)	<input type="text"/>		
Designation	<input type="text"/>		

Place of incorporation	<input type="text"/>
Correspondence address	<input type="text"/>
	<input type="text"/>
	Postcode
Country	<input type="text"/>

2. Financial Adviser details

(this section to be completed by a financial adviser)

If there was a face-to-face meeting between the retail customer and you as IFA, and you have offered to that customer the right to withdraw (i.e. cooling-off) this box must be ticked (if the box is not ticked, the customer will not have the right to withdraw):

Where there is an Agent attached to an investment we will assume that an advice event has taken place, and therefore no commission will be payable unless you declare otherwise (commission payments are only applicable to Class A shares). Please tick the box if you wish to declare that an advice event has not taken place and that you are entitled to receive commission on this investment. You must inform us if you are no longer entitled to receive commission.

If an advice event has **not** taken place and you are entitled to commission, please indicate the amounts below:

Initial – £ / %

Name/address (including Country and Post Code) Adviser's stamp	
Adviser's Signature	
IF YOU HAVE NOT COMPLETED A TERMS OF BUSINESS AGREEMENT PLEASE COMPLETE THE AGENT'S DISCLOSURE OVERLEAF	
UK Reg. no.	Agent no.

AGENT DISCLOSURE (ONLY TO BE COMPLETED BY ADVISERS): IN ACCORDANCE WITH THE REQUIREMENTS OF THE MONEY LAUNDERING REGULATIONS 2017, I HAVE OBTAINED AND RECORDED APPROPRIATE IDENTIFICATION EVIDENCE OF THE APPLICANT AND ON REQUEST SHALL PROVIDE A CERTIFICATE AND EVIDENCE TO THAT EFFECT, COMPLYING WITH THE JOINT MONEY LAUNDERING STEERING GROUP COMPLIANCE NOTES.

Signature:	Date:
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3. Investment details

Please indicate which funds and share classes you wish to invest in. By signing this form and dealing instruction, you are committed to pay the purchase price for the shares. For certain funds, Euro share classes and US dollar share classes are also available (please consult the fund prospectus for a complete list of the funds). Hedged share classes are also available in certain currencies within certain funds. Minimum investment levels for our funds can be viewed in the Prospectus, fund Factsheets or are available on request. **Please make your cheque payable to First Sentier Investors (UK) Funds Limited.** Cheques must be drawn on a UK bank or building society account. Purchases must be settled in the same currency of the share class you have chosen. If you wish to invest monthly, please complete the direct debit form on page 3.

Please note that a valid B class ISIN must be provided in order for your instruction to be processed.

GBP Fund Identifier: valid B class ISIN
(valid B class ISIN can be located on fund share class Key Investor Information Document – KIID)

Fund Name	Document – KIID	Lump sums	Regular savings
<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"/>
Total Investment		£ <input type="text"/>	£ <input type="text"/>

EUR Fund Identifier: valid B class ISIN
(valid B class ISIN can be located on fund share class Key Investor Information Document – KIID)

Fund Name	Document – KIID	Lump sums
<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"/>
Total Investment		€ <input type="text"/>

USD Fund Identifier: valid B class ISIN
(valid B class ISIN can be located on fund share class Key Investor Information Document – KIID)

Fund Name	Document – KIID	Lump sums
<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"/>
Total Investment		\$ <input type="text"/>

4. Income (if applicable)

We can pay income where you have chosen income shares and the fund is making a distribution to its shareholders. If you would like any income to be paid directly to your bank or building society account, please complete this section. If you do not request to have income paid to you, or do not complete this section, any income will be automatically reinvested for you. If you have chosen accumulation shares you will not receive payments of income. Any income in respect of accumulation shares is accumulated and reflected in the share price.

Name of Bank or Building Society	<input type="text"/>	Name of account holder	<input type="text"/>
Bank/Building Society address	<input type="text"/>	Account 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"/>	Sort code	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
	<input type="text"/> Postcode	Building society roll number	<input type="text"/>

The Direct Debit Guarantee

- The 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 we will notify you (normally 10 working days) in advance of your account being debited or as otherwise agreed.
- If you request us 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 us 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 we ask 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.

Instruction to your Bank/Building Society to pay Direct Debits (for investors in Sterling classes only)

Name and postal address of your Bank/Building Society Branch

To the Manager, Bank/Building Society

Address

Postcode

Name/s of account holder/s

Bank/Building Society account no.



Branch sort code - -

Signature/s:

Please note that Banks and Building Societies may not accept Direct Debit instructions for some types of account.

Originator's identification no.

Reference no. (for office use only)

Instruction to your Bank or Building Society
Please pay First Sentier Investors (UK) Funds Limited Direct Debits from the account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with First Sentier Investors (UK) Funds Limited and, if so, details will be passed electronically to my Bank or Building Society.

Date:

5. Individual Self-Certification for FATCA and CRS

Instructions for completion

Tax Regulations¹ require us to collect information about each investor's tax residency. Please complete the sections below as directed and provide any additional information as requested. Please note that in certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with the relevant tax authorities.

If you have any questions about this form or defining your tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

The OECD CRS Information Portal can be accessed at <http://www.oecd.org/tax/automatic-exchange/>

If any of the information provided below changes in the future, please advise of these changes promptly.

Please note that where there are joint or multiple holders each investor is required to complete a separate Self-Certification form.

All Sections 1, 2, 3 and 4 below must be completed by all investors.

(Mandatory fields are marked with an *)

Section 1: Investor Identification

Investor Name*:

Date of Birth*:

Town or City of Birth*: Country of Birth*:

Current Residential Address*:

Number: Street:

City, Town, State, Province or County:

Postal/ZIP Code: Country:

Mailing address (if different from above):

Number: Street:

City, Town, State, Province or County:

Postal/ZIP Code: Country:

Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax Purposes*:

Please tick either (a) or (b) and complete as appropriate.

(a) I confirm that **[I am]**/[the investor is] a U.S. citizen and/or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

OR

(b) I confirm that **[I am not]**/[the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

Section 3: CRS Declaration of Tax Residency*

Please indicate all countries in which you are/the investor is resident for tax purposes and the associated Taxpayer Identification Number(s) (TIN(s)) in the table below. Please see the CRS Portal for more information on Tax Residency.

Country of Tax Residency	Tax ID Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Note: Provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN.

Section 4: Declaration and Undertakings:

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

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature*:

Print Name*:

Date: (dd/mm/yyyy)*:

Capacity*:

1 The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include the Foreign Account Tax Compliance Act (FATCA)², and the OECD Common Reporting Standard³ for Automatic Exchange of Financial Account Information.

2 FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued thereunder, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

3 The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

6. Your signature and declaration

Please read the declaration below before you sign and date this OEIC application form. By signing you make the declaration shown below and confirm that you have read this form and the separate key investor information document ("KIID") for the fund(s) in which you have chosen to invest.

Please refer to the prospectus for the full terms and conditions governing your investment with us. The prospectus can be obtained from our website or free of charge on request.

Declaration: To First Sentier Investors (UK) Funds Limited

I/We declare that:

- I am/We are aged 18 or over;
 - I/We have checked the information about me in this form and otherwise provided by me and it is correct to the best of my knowledge and belief. I will notify First Sentier Investors (UK) Funds Limited of any changes to the information without delay;
 - I am/We are not US Person(s) (as defined in the Prospectus) or acting for the account or benefit of a US Person;
 - I am/We are not an ERISA Plan asset (ERISA Plan being defined in the prospectus).
 - Unless otherwise specified I am/We are not a "Specified United States Person" under the tax laws of the U.S.* or a non-U.S. entity with one or more Specified United States Persons as "substantial United States owners" or "Controlling Persons".
- *For this purpose, a "Specified United States Person" will include, subject to certain exceptions, (A) an individual who is a citizen or resident of the U.S., (B) a partnership or corporation (including any entity treated as a partnership or corporation for U.S. tax purposes, such as a limited liability company) organised in or under the laws of the U.S. or any state of the U.S. thereof (including the District of Columbia), (C) any estate the income of which is subject to U.S. tax regardless of its source, and (D) any trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.
- I/We declare that I/we do not intend to sell or transfer any Shares which I/we may purchase to any person who is a Specified United States Person.
 - I am/We are not a person resident or otherwise located in Canada.

I/We agree and consent:

- to First Sentier Investors (UK) Funds Limited contacting me/us at the email address stated overleaf;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a US Person or holding on behalf or for the benefit of a US Person;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a specified United States person;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a person resident or otherwise located in Canada;
- to notify First Sentier Investors (UK) Funds Limited immediately in the event that the investor pursuant to this application becomes an ERISA Plan asset;
- not to transfer Shares to a US Person or a person who will hold the Shares on behalf or for the benefit of a US Person;
- to indemnify and hold harmless First Sentier Investors (UK) Funds Limited, the Investment Manager and First Sentier Investors ICVC and their respective agents from time to time for any costs or losses incurred, suffered or arising in connection with a breach of the above declarations and agreements and/or in relation to any late or non-payment of the settlement amount and/or my/our actions or failure to provide any information or documents requested by any of them to comply with the AEOL regimes or other laws or regulations.

I/We declare and agree:

- I/We agree to provide on request in a timely manner any information or documentation in relation to myself/ourselves as may be necessary or desirable for the Company (or its agents) to comply with any reporting or other obligations and/or prevent the withholding of tax under the AEOL regimes.
- I/We acknowledge that the Company may, in accordance with the provisions of the Prospectus compulsorily redeem my/our shares in the Fund(s) if I/We acquire or are holding such units in breach of the requirements or in the circumstances detailed in the Prospectus of the Fund(s), whether at the point of my/our investment or thereafter; and
- I/We undertake to observe and be bound by any such decision by the Company and agree that the Company/Investment Manager shall not assume liability for any losses arising from a compulsory redemption of any of my/our shares in the Fund.
- I/We confirm that all the information made by me/us in this Application Form and as otherwise provided by me/us to the Company/Investment Manager shall remain valid and I/We also undertake to immediately notify the Company/Investment Manager on any changes to such information.
- I/We acknowledge that if I/we provide information and documentation that is in any way misleading, or fail to provide the Company (and/or its agents) with the requested information and documentation necessary in either case to satisfy the Company's obligations under the AEOL regimes, the Company reserves the right: to take any action and/or pursue all remedies at its disposal.
- I/We acknowledge that the Prospectus (General Information, Protection of client money) describes how you will settle purchases and redemptions of Shares with me/us, including where you will do so on a delivery versus payment basis and will not be required to treat the money as client money (provided you settle with me/us within the time frames required by the FCA Rules). I/we agree to you not treating my/our money as client money in those circumstances.
- I/we acknowledge that FSI UK will treat me/us as a retail client under the FCA's categorisation rules.
- I/We confirm that all the information made by me/us in this Application Form shall remain valid and I/We also undertake to immediately notify you in writing if there is any change in my/our registration details above in the subsequent years.
- I/We acknowledge that the KIID can be obtained from the website www.firstsentierinvestors.com or hard copies can be obtained by contacting Client Services on 0800 587 4141 (+44 203 528 4102) and consent to being provided with the KIID in this form via the website.
- I/We have received and read the KIID for the relevant share class.

If you wish to write to us:

Dealing Services
First Sentier Investors (UK)
Funds Limited
PO BOX 404
Darlington
DL1 9UZ

If you wish to call us:

Regarding placing a deal or have a deal query:
Telephone: 0800 587 3388 (UK Investors) or +44 203 528 4102 Fax: +44 207 964 2727
Regarding a general query:
Telephone: 0800 587 4141 (+44 203 528 4102)
9.00 am to 5.00 pm (UK time) Monday to Friday except for bank holidays in England and Wales, the last business day before Christmas and other days at the ACD's discretion.

Complaints

You should refer complaints to our complaints officer, who will investigate and take such action as may be considered appropriate. You may also complain direct to The Financial Ombudsman Service (www.financial-ombudsman.org.uk). If we default you may be entitled to compensation under the Financial Services Compensation Scheme. We can send you a statement summarising the Scheme if you ask for it.

Use of customer information

The personal information that you provide in this application form will be processed by First Sentier Investors (UK) Funds Limited or its agents or third party administrators in accordance with the privacy notice provided alongside this application form (the "Privacy Notice"). In the event of an inconsistency between the content of this application form and the content of the Privacy Notice, the Privacy Notice will prevail.

Notes

1. No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion.
2. UK regulations require the Company to collect and disclose certain information about each investor and certain related persons and their investments in the Company to HM Revenue & Customs and/or other tax authorities overseas. These regulations (as amended or replaced from time to time) were enacted pursuant to an intergovernmental agreement signed by the UK with the United States to implement the US Foreign Account Tax Compliance Act ("FATCA"), similar bilateral agreements the UK signed with each of the British Crown Dependencies and Gibraltar ("UK FATCA") and a multilateral agreement with the UK signed with various jurisdictions to implement a similar regime known as the OECD Common Reporting Standard ("CRS", and together with FATCA and UK FATCA and similar regimes, the "AEOL regimes"). The Company may have further future obligations under the CRS and similar AEOL regimes.
All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOL regimes of an investment in the Company.
3. The Company, Administrator and the Distributor reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the purpose of anti-money laundering, counter terrorist financing and any other laws or regulations.

Consent to Marketing

From time to time we and other First Sentier Investors group companies and their representatives may wish to send you information about other products and services available from First Sentier Investors by telephone, mail or email.

If you would like to receive such information, please tick this box.

By signing below you confirm your consent to the above use of your information.

First applicant

Signature:

Date:

Second applicant

Signature:

Date:

First Sentier Investors (UK) Funds Limited is authorised and regulated by the Financial Conduct Authority. Registered as a company in England and Wales with number 2294743. Registered office: Finsbury Circus House, 15 Finsbury Circus, London EC2M 7EB, (FCA registration number 143359).

Privacy Notice

First Sentier Investors ICVC

Background

This Notice gives information on how the First Sentier Investors (UK) group of companies collect, use and protect the personal data held about investors.

Information about us

References in this Notice to First Sentier Investors (UK) will include the following companies:

First Sentier Investors ICVC*

First Sentier Investors (UK) Funds Limited*

(together “we”, “us” or “our”)

*Authorised and regulated by the Financial Conduct Authority of the United Kingdom.

Information we may collect

First Sentier Investors (UK) collects from time to time, personal data on investors from a number of sources, including from: investor application forms; other First Sentier Investors (UK) forms (including website forms); correspondence, conversations with clients, advisers, intermediaries; business cards; third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents); client advisers; other third parties; and from public sources. This information may be collected directly from investors or indirectly from third parties, as follows:

From you

We may collect from you and process the following personal data:

- Your name; address (including proof of name and address); photo identification; contact details both personal and work (for example, your email and phone numbers); job title and company; nationality; citizenship; tax residency; date of birth; passport details; national insurance number and other tax details; adviser details; investment details; banking details; signed contracts with you; business cards, contact sheets and biographies; financial dealings; family connections; details of your company’s directors, secretaries, authorised signatories and identification documents; details of any complaints made; data received from due diligence activities (such as anti-money laundering, politically exposed persons and sanctions checks); responses to surveys and competitions; fraud enquiries (for example, information from police reports); images captured by CCTV cameras on our premises; recordings of telephone conversations and electronic communications with our staff.

From third parties

We may collect personal data about you from third parties in particular:

- **Third party service providers to our funds** (for example, transfer agents, registrars, administrators, distributors, custodians and paying agents) – information received includes personal details of investors obtained from fund application forms such as: name; address; contact details; nationality; national insurance number; date of birth; tax residency; adviser details; investment details; bank account details.
- **Your advisers (including independent financial advisers)** – information received may include your name, address, gender, date of birth; bank details.
- **Our vendors** such as Experian and World-Check – information received includes the results of “Know Your Client”, anti-money laundering, politically exposed persons and sanctions checks.
- **Publicly available sources** such as MandateWire and LinkedIn – information available includes contact details of institutional investors (MandateWire) and details of job title, company, former employers and roles, and connections (LinkedIn).

How we will use the information we collect

The information we collect and use will depend on the nature of our business relationship with you, as follows:

- In relation to **prospective investors**, we may process personal data for identification purposes (prior to becoming an investor in our funds), for the purposes of anti-money laundering, counter terrorist financing, suitability and appropriateness assessments, “Know Your Client” and credit-worthiness checks, and for any other applicable legal or regulatory reasons. Failure to provide relevant information will mean that we will not be able to on-board a potential investor.
- In relation to **investors in our funds**, we may process information collected for the purpose of account administration and other general business purposes (for example, for processing subscriptions and investments; maintaining the share register of investors, carrying out investor instructions; handling any complaints and enquiries; sending investor communications, including financial reports, valuations, corporate actions). In addition, in order to comply with regulatory obligations, we may collect and disclose certain information about our investors and certain related persons and their investments to HM Revenue & Customs and/or other relevant tax authorities overseas.
- We may from time to time process personal data of **investors** to comply with legal and regulatory requirements impacting our business. In particular, we may need in the context of our business: to obtain legal advice on legal and regulatory requirements; to report to relevant regulators; to comply with market opening and registration requirements in the conduct of our business.
- In relation to **intermediaries who introduce investors into our funds** (such as distributors, platforms and independent financial advisers), we may process personal data to conduct market research, gauge product sales or product performance or assess the creditworthiness of intermediaries. In addition, we may process the personal data of investors introduced to our funds, as outlined above.
- **Monitoring purposes:** we may process personal data to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and usability of our technology platform, including telephone calls and electronic communications with our staff which may be recorded for the purposes of retaining a record of communications, in the interests of security, for training and compliance monitoring purposes and/or to comply with legal or regulatory obligations.
- **Where you have provided your consent, we may process your personal data for the purposes of informing you (for example, by telephone, mail and email) about other products and services available from the First Sentier Investors (UK) group of companies and of marketing campaigns and event invitations.**

We are entitled to use your personal data in these ways because:

- We have legal and regulatory obligations that we have to discharge;
- We may need to in order to establish, exercise or defend our legal rights or for the purpose of legal proceedings;
- The use of your personal data as described is necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates);
- The use of your personal data is necessary for the performance of a contract with you;
- You have provided your consent to us processing your personal data (other than for marketing purposes); or
- **You have provided your consent to us processing your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Investors (UK) group of companies and of marketing campaigns and event invitations.**

Disclosure of your information

- We may disclose your personal data to any member of the First Sentier Investors (UK) group, which means our affiliates, for internal business and administrative purposes (including to administer our products and services and for prudential and risk management purposes) and, **where you have given your consent**, to provide you with information on related products and services. We may also disclose personal data relating to our clients to members of our group to whom we sub-delegate our services (for example, trade order execution and portfolio management).
- We may disclose your personal data to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure and to use it solely for the purpose of providing the specified services to us. The following is a list of the types of third parties who process your personal data on our behalf:
 - third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents and researchers). These third party service providers may also disclose and transfer your personal data to their affiliates or other third party contractors.
 - credit reference agencies, debt collection agencies and other companies for use in credit decisions, for fraud prevention, to pursue debtors and for the verification of identity
 - document execution vendors in relation to the execution of contracts with our clients;
 - insurance brokers;
 - professional advisers (for example, accountants/tax advisors and legal advisors).
- If you use a financial adviser (as indicated on your investor application form), then details of your investments and valuations may also be provided to such financial adviser.
- We may disclose to relevant tax authorities, regulators, government departments or competent authorities of the UK or of other countries, any personal data (including tax status, identity or residency or other personal and payment information, documents or self-certifications) in order to comply with a court order or to meet legal and regulatory requirements arising in the conduct of our business. Such disclosure may be made directly to such regulators or competent authorities or made indirectly to our advisers or providers who will make such filings or disclosures on our behalf.

Transfers outside the UK and EEA

We may transfer your personal data to our overseas affiliates (including outside the UK or EEA) and/or allow the information to be accessed by our affiliates and their employees outside the UK or EEA as well as within. It may also be processed by personnel operating outside the UK or EEA who work for us or for one of our third party service providers.

Where we transfer your personal data outside the UK or EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the UK or EEA or that the transfer is otherwise compliant with data protection laws. This can be done in a number of ways, for example:

- the country that we send the data to might be approved by the UK Information Commissioner's Office or the European Commission;
- the recipient might have signed up to a contract based on "model contractual clauses" approved by the UK Information Commissioner's Office or the European Commission, obliging them to protect your personal data;
- where data protection laws permit us to transfer your personal data outside the UK or EEA.

You can obtain more details of the protection given to your personal data when it is transferred outside the UK or EEA by e-mailing us at infouk@firstsentier.com or writing to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*.

How long will we store your data?

Personal data held by us will be kept confidential. How long we hold your personal data for will vary and will be determined by various criteria, including:

- the purpose for which we are using it – we will need to keep the data for as long as is necessary for that purpose; and
- legal obligations – laws or regulation may set a minimum period for which we have to keep your personal data.

Your rights in relation to your data

If you wish to contact us for any of the reasons below, please e-mail us at infouk@firstsentier.com or write to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*:-

- You have a **right to access** the information which we hold about you. If you wish to make an application to access or obtain this information, please contact us. In some circumstances, you have the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit that data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us.
- We take reasonable steps to ensure that the personal data we collect, use or disclose is **accurate, complete and up to date**. Please contact us if any of the details you have provided change. Please also contact us if you believe that the information we have about you is not accurate, complete or up to date.
- If you wish us to **erase or restrict** using your data, please contact us. We may need to discuss with you the basis of your request as there may be circumstances where we are legally entitled to continue processing your personal data/refuse your request.
- If you have previously provided your consent to our use of your data (other than for marketing purposes) and you wish to **withdraw such consent**, please contact us. We may need to discuss with you whether our use of your data needs to continue for lawful purposes (i.e. because we have another legitimate reason (other than your consent) for doing so).
- **If you have previously consented to being sent information about other products and services available from the First Sentier Investors (UK) group of companies, you may withdraw such consent by contacting us.**
- If you have any **complaints** in relation to the way we have used your information, please contact us in the first instance. You also have the right to lodge a complaint with the **Information Commissioner's Office** at *Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF (Tel: 0303 123 1113)*, if you think that any of your rights have been infringed by us.

Other Products and Services

If you would like to receive further information from us about other products or services offered by First Sentier Investors (UK) Group, please ensure you tick the relevant box on the appropriate application form or contact us by e-mailing us at infouk@firstsentier.com or writing to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*.

Changes to our Privacy Notice

This Notice was updated on 6 April 2022. We reserve the right to change this Notice at any time.

Settlement Bank Account Details

Our subscription settlement timescale is T+4 (Trade date plus four working days). Once confirmation of your trade has been received then the appropriate bank account details below can be used to settle. Please note that we can only accept payment in the currency of the share class into which you have invested.

GBP Bank Details

Swift Code: BARCGB22
Sort Code: 20 00 00
Account number: 23577287
Account name: FIRST SENTIER INVESTORS (UK) FUNDS LIMITED – OPERATING GBP ACCOUNT
IBAN number: GB59 BARC 2000 0023 5772 87

Euro Bank Details

Swift Code: BARCGB22
Sort Code: 20 00 00
Account number: 78262866
Account name: FIRST SENTIER INVESTORS (UK) FUNDS LIMITED – OPERATING EUR ACCOUNT
IBAN number: GB49 BARC 2000 0078 2628 66

USD Bank Details

Swift Code: BARCGB22
Sort Code: 20 00 00
Account number: 43172000
Account name: FIRST SENTIER INVESTORS (UK) FUNDS LIMITED – OPERATING USD ACCOUNT
IBAN number: GB14 BARC 2000 0043 1720 00

Acceptable forms of identification – UK Residents

Full Name:	Date of Birth:
<p>PLEASE READ CAREFULLY; Please supply one document from BOX 1 and a different document from BOX 2, along with this form. On this form, please complete the above information and tick the documents you are providing. These documents must be posted to us either as originals, or preferably, due to their importance, as a certified copy. See overleaf for details of how to obtain a certified copy of it. Any original documents you do provide will be sent back by return of post.</p>	

Box 1: Personal Identity Verification Please provide one of the following documents, which must show both your forename and surname in full			
Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Passport	<i>Not expired</i>		
Photocard Driving Licence	<i>Not expired</i>	<i>Can be full or provisional</i>	
Driving Licence (old style paper version)	<i>Not expired</i>	<i>Can only be full version NOT provisional</i>	
State Pension Letter	<i>Dated within last 12 months</i>	<i>State pension only, not any other pension provider</i>	
Benefit Entitlement Letter	<i>Dated within last 12 months</i>	<i>Must be issued by relevant benefit agency</i>	
HMRC Tax Notification/ Assessment Letter	<i>Dated within last 12 months</i>	<i>Must have been issued by HMRC Will NOT accept P60s and P45s</i>	

Box 2: Address Verification Please provide one of the following documents, which must show your name and home address (this must be a different document to that provided as evidence of name)			
Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Photocard Driving Licence	<i>Not expired</i>	<i>Can be full or provisional</i>	
Driving Licence (old style paper version)	<i>Not expired</i>	<i>Can only be full version NOT provisional</i>	
State Pension Letter	<i>Dated within last 12 months</i>	<i>State pension only, not any other pension provider</i>	
Benefit Entitlement Letter	<i>Dated within last 12 months</i>	<i>Must be issued by relevant benefit agency</i>	
HMRC Tax Notification/Assessment Letter	<i>Dated within last 12 months</i>	<i>Must have been issued by HMRC Will NOT accept P60s and P45s</i>	
Bank or Building Society Statement	<i>Dated within last 3 months</i>	<i>Must NOT be printed from the internet Must be issued by a UK Financial Services Provider</i>	
Mortgage Statement	<i>Dated within last 12 months</i>	<i>Must be issued by a UK Financial Services Provider</i>	
Council Tax Bill	<i>For current year</i>		
Gas, Electricity, Water or Landline Phone Bill	<i>Dated within last 3 months</i>	<i>Must NOT be printed from the internet Mobile phone bills are NOT acceptable</i>	

Acceptable forms of identification – Non UK Residents

Full Name:	Date of Birth:
<p>PLEASE READ CAREFULLY; Please supply one document from BOX 1 and a different document from BOX 2, along with this form. On this form, please complete the above information and tick the documents you are providing. These documents must be posted to us either as originals, or preferably, due to their importance, as a certified copy. See overleaf for details of how to obtain a certified copy of it. Any original documents you do provide will be sent back by return of post.</p>	

<p>Box 1: Personal Identity Verification Please provide one of the following documents, which must show both your forename and surname in full</p>			
Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Passport	<i>Must be valid</i>		
Driving Licence	<i>Must be valid</i>		
National ID Card	<i>Must be valid</i>	<i>Must be issued by an EEA member state or Switzerland</i>	

<p>Box 2: Address Verification** Please provide one of the following documents, which must show your name and home address (this must be a different document to that provided as evidence of name)</p>			
Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Driving Licence	<i>Must be valid</i>		
National ID Card	<i>Must be valid</i>	<i>Must be issued by an EEA member state or Switzerland</i>	
Bank or Building Society Statement	<i>Dated within last 3 months</i>	<i>Must NOT be printed from the internet Must be issued by a Financial Services Provider</i>	
Gas, Electricity, Water or Landline Phone Bill	<i>Dated within last 3 months</i>	<i>Must NOT be printed from the internet Mobile phone bills are NOT acceptable</i>	

**** Please note evidence of a PO Box Address is not sufficient, as we need information about your actual residential address.**

Important – How To Get Your Documents Certified

Copies of documents

For valuable, or regularly used, documents such as passports and driving licences, you should provide copies that have been certified as true copies of the original documents.

Each certified copy should show all the personal details on the document, including your name and/or address, any references numbers and the photograph, if there is one.

Who can certify your documents?

UK nationals getting documents certified in the UK

If you are getting documents certified in the UK, the following people are usually able to certify documents for you:

- Accountant
- Bank/Building Society official
- Independent Financial Adviser (IFA)
- Post Office official
- Solicitor

Non-UK nationals, and UK nationals getting documents certified outside of the UK

The following people can certify documents for you:

- Notary public
- Lawyer or attorney
- Embassy, consulate* or high commission officials of the country which issued the document (**please be aware that not all consulates may be able to assist with document certification*)

How should the documents be certified?

The person certifying the documents should write the following on each copy:

- his/her **name, position, signature** and the **date**
- his/her **address** and **contact telephone number**
- the words **“I have seen the original and certify that this is a true copy”**
- and, if there is a photograph, the words **“The photograph provides a good likeness of the applicant”**

Where copies of documents are certified, you must send us the originally certified copies, not photocopies of them.

Please note that you are not permitted to certify your own identification documents.