

Phoenix Unit Trust Managers Limited Unit Trust Application Form

Have you:

- Filled in all relevant sections?
- Enclosed your cheque payable to Phoenix Unit Trust Managers Limited?
- Read the relevant Key Investor Information Document(s) and Supplementary Information Document?
- Read the data protection statement within the Supplementary Information Document and signed the application form?

Important information

Before you sign this form, you must read an up-to-date version of the Key Investor Information Document (KIID) for each fund in which you want to invest. You should also read an up-to-date version of the Supplementary Information Document. Please contact us if you have not received up-to-date versions of these documents, or if there is anything in these documents or Application Form that you do not understand, by calling 0345 584 2803 or by visiting www.phoenixunittrust.co.uk.

You can find details on how we will use the personal information you give here in the Supplementary Information Document.

Please use BLOCK CAPITALS and black ink. Please also read the notes and Data Protection statement and sign on the following page.

Mr	Mrs	Miss		Firstnames (in full)											
	Ms	Other													
Surname/Organisation Name															
Address (your permanent home)															
				Postcode											
Phone number				Date of birth							1	9			
Mobilephonenumber				Email address											
Other unit holders' details		2	Full names		Date of birth							1	9		
			Address												
		3	Full names		Date of birth							1	9		
			Address												
		4	Full names		Date of birth							1	9		
			Address												

Please note all correspondence will be sent to the first named unit holder address only. We must have a record of your residential address for HMRC reporting requirements.

Designation

If this investment is being made on behalf of a minor (unit holders must be aged 18 or over) please complete their name below.

Name (in full)	
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The holding will be registered in the name of the parent(s), grandparent(s) or guardian(s) using the minor's initials to identify the holding. (see note 1)

Beneficial owner (see note1)

I/we confirm that I/we are the beneficial owner(s) of this investment Yes ☐ No ☐

If No please provide the following information on behalf of the beneficial owner(s)

Beneficial Owner 1	
Full name (including title)	
Address (permanent residence)	
Date of birth	

Beneficial Owner 2	
Full name (including title)	
Address (permanent residence)	
Date of birth	

Beneficial Owner 3	
Full name (including title)	
Address (permanent residence)	
Date of birth	

Beneficial Owner 4	
Full name (including title)	
Address (permanent residence)	
Date of birth	

Investment details

Lump sum (see notes 2 & 3 on the back page)

Do you want income paid to you? Yes ☐ No ☐ (if yes, you will receive income payments by cheque to your registered address.
If no, accumulation units will be purchased)

Fund	Lump Sum (minimum initial investment £500)	
PUTM Far Eastern Unit Trust	£	%
PUTM UK Equity Unit Trust	£	%
Total	£	%

Fund	Lump Sum (minimum initial investment £50,000)	
PUTM UK All-Share Unit Trust	£	%
Total	£	%

Fund	Lump Sum (minimum initial investment £1,000,000)	
PUTM UK Stock Market Fund*	£	%
PUTM UK Stock Market Fund (series 3)*	£	%
Total	£	%

*Notes: Only accumulation units are available.

You can choose one or more of the funds shown above. If you are filling in the percentage column for each fund, it must be a whole percentage with the total adding up to 100%.

Coverall renunciation

We hereby authorise Phoenix Unit Trust Managers Limited to accept all instructions given by us, or on our behalf, from time to time by fax, EMX or by telephone for the redemption of shares that are registered in the above name under any account designation Phoenix Unit Trust Managers Limited Funds UT.

The Instruction shall contain such details as Phoenix Unit Trust Managers Limited may require and shall be given by such designated individuals as we shall notify to Phoenix Unit Trust Managers Limited in writing from time to time.

PUTM are to receive confirmation that the UH request and overall renunciation registration has been completed from the Transfer Agent.

It is our intention that this document takes effect as an instrument of transfer to Phoenix Unit Trust Managers Limited of any shares that are so redeemed. Accordingly, in consideration of such payment, we hereby renounce title to any shares that are so redeemed and in respect of which the payment is duly made and instruct Phoenix Unit Trust Managers Limited to transfer those shares out of our name to itself as authorised corporate director of the fund(s) concerned. In consideration of acceptance of our instructions by the methods described above, we undertake that we will not seek to claim against Phoenix Unit Trust Managers Limited for any costs, losses or expenses that we may incur as a result of Phoenix Unit Trust Managers Limited acting in good faith in accordance with this overall renunciation pursuant to any incorrect or fraudulent instructions to redeem shares, given or purporting to be given by us. In addition, we will indemnify Phoenix Unit Trust Managers Limited against all costs, losses, claims and expenses that arise from Phoenix Unit Trust Managers Limited accepting in good faith any incorrect or fraudulent instructions made or purporting to be made or given by us, or made or purporting to be made or given under this overall renunciation.

Telephone dealing services

Orders to buy or sell units may be sent by post or, alternatively, you may wish to telephone our direct dealing number. Transactions made by telephone are legally binding.

Dealing: 0345 584 2803

For the protection of investors, all telephone calls received for this purpose are recorded. When you call, our experienced dealers will be pleased to assist.

It must be remembered the price of units and the income from them may go down as well as up.

Investor Support (Enquiries): 0345 584 2803

Agent's Stamp (please complete)	Network Member	Evidence of Identity (advisers only)
<div></div>	Yes No <input type="checkbox"/>	Have you attached a completed Identification Verification for (original or certified)? Yes <input type="checkbox"/> No <input type="checkbox"/>
FCA Ref. No.	If yes name of network <div></div>	Have you verified the source of the funds to be that of the clients? Yes <input type="checkbox"/> No <input type="checkbox"/>

Tax regulations

Phoenix Unit Trust Managers Limited is required to collect information regarding an investor's tax residency. Please complete the relevant information below relating to your status as an individual or corporate investor.

This form must be completed by each individual unit holder. Where there is more than one investor, please refer to our web site for additional forms – www.phoenixunittrust.co.uk

Individual self-certification

Tax regulations¹ require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self- certification from you) we may be obliged to share information on your account with HMRC. If you have any questions about your tax residency, please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

Country/countries of tax residency	Tax reference number

If you are not a resident in any country for tax purposes, please tick this box: ☐

Declaration

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

Name:	
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Permanent residence address:	
Place of birth:	
National Insurance Number for UK tax residents only:	
Signature	
Date (dd/mm/yyyy)	

¹The term "tax regulations" refers to regulations created to enable automatic exchange of information and include FATCA², various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

²The term "FATCA" refers to The Foreign Account Tax Compliance provisions contained in the US Hire Act 2010.

Entity self certification

Tax Regulations¹ require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. Please complete all sections below as directed. If you have any questions about your organisation's classifications, please see instructions or contact your tax advisor. Please see notes overleaf for key definitions. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Section 1: Tax residency

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

- 1.1 Please state the country in which your organisation is resident for tax purposes:
- 1.2 Please provide us with your organisation's Tax Reference Number:
- 1.3 If the organisation is not a Specified Person² in the country stated in 1.1 above, please tick this box: ☐

Section 2: Organisation's classification for FATCA³ purposes

Please tick one box only in this section, with reference to the tax residency stated in box 1.1.

2.1	Exempt Beneficial Owner ⁴	<input type="checkbox"/>
2.2	Participating Foreign Financial Institution ⁵	<input type="checkbox"/>
2.3	Non-Participating Foreign Financial Institution ⁵	<input type="checkbox"/>
2.4	UK Financial Institution or a Partner Jurisdiction Financial Institution ⁵	<input type="checkbox"/>
2.5	Financial Institution resident in the USA or in a US Territory ⁵	<input type="checkbox"/>
2.6	Deemed Compliant Foreign Financial Institution (besides those listed above) ⁵	<input type="checkbox"/>
2.7	Active Non-Financial Foreign Entity ⁶	<input type="checkbox"/>
2.8	Passive Non-Financial Foreign Entity ⁷	<input type="checkbox"/>

2.9	Excepted Non-Financial Foreign Entity ⁸	
2.10	US Non-Financial Entity	

A Passive Non-Financial Foreign Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons⁹

Section 3: Organisation's classification under other applicable tax regulations

Please tick all boxes that apply, with reference to the tax residency stated in box 1.1.

3.1 Please tick the appropriate box below if the organisation is a Non-Financial Foreign Entity:

(a) Active Non-Financial Foreign Entity¹⁰ ☐

(b) Passive Non-Financial Foreign Entity¹¹ ☐

A Passive Non-Financial Foreign Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons⁹

3.2 Please tick this box if the organisation is a Non-Profit Organisation¹²: ☐

3.3 Please tick this box if the organisation is not classified under 3.1 or 3.2: ☐

Section 4: Declaration

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

Signed by (please print name)	
On behalf of (Company Name)	
Capacity in which you are signing:	
Signature	
Date	

Notes

¹Tax Regulations

The term “tax regulations” refers to regulations created to enable automatic exchange of information and include FATCA³, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

²Specified Person

The term “Specified Person” is defined by reference to local laws in the country where an entity is established. In the UK, a “Specified United Kingdom Person” means a person or entity who is resident in the United Kingdom for tax purposes, other than:

- i. a corporation the stock of which is regularly traded on one or more established securities markets;
- ii. any corporation that is a Related Entity¹³ of a corporation described in clause (i);
- iii. a Depository Institution;
- iv. a broker or dealer in securities, commodities, or derivative financial instruments (including notional principle contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom;
- v. a Governmental Entity;
- vi. an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);

- vii. a Central Bank; or
- viii. a pension scheme or other arrangement registered with HMRC under Part 4 of the Finance Act 2004.

Similar definitions apply to entities in the US (defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK).

³FATCA

The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US Hire Act 2010.

⁴Exempt Beneficial Owner

The term “Exempt Beneficial Owner” means

- i. a Governmental Entity;
- ii. an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- iii. a Central Bank; or
- iv. a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

⁵Financial Institution

The term “Financial Institution” means a Custodial Institution, a Depository Institution, or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK’s Agreements to Improve International Tax Compliance. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

⁶Active Non-Financial Foreign Entity (NFFE) (US definition)

A NFFE is a foreign entity that is not a Financial Institution.

For the purpose of section 2 only, an Active NFFE is any NFFE that meets one of the following criteria:

- i. Less than 50 per cent of the NFFEs gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- ii. The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity¹³ of an entity, the stock of which is traded on an established securities market;
- iii. The NFFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
- iv. Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout

Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFFE;

- v. The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;
- vi. The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- vii. The NFFE primarily engages in financing and hedging transactions with, or for Related Entities¹³ that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
- viii. The NFFE is organised in a U.S Territory and all the owners of the payee are bona fide residents of that U.S. Territory; or
- ix. The entity is a Non-Profit Organisation¹².

⁷Passive Non-Financial Foreign Entity (NFFE) (US definition)

For the purpose of section 2 only, a Passive NFFE is any NFFE that is not an Active NFFE⁶.

⁸Excepted Non-Financial Foreign Entity (NFFE)

The term "Excepted Non-Financial Foreign Entity" has the same meaning as Active Non-Financial Foreign Entity⁶ and applies to entities in countries that have not signed an intergovernmental agreement with the US to implement FATCA.

⁹Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

¹⁰Active Non-Financial Foreign Entity (NFFE) (UK and Crown Dependency definitions)

An entity will be an Active NFFE (UK and Crown Dependency definitions) for the purpose of section 3 only if they meet one of the criteria in (i) to (vii) in the definition of Active NFFE (US definition)⁶ above.

¹¹Passive Non-Financial Foreign Entity (NFFE) (UK and Crown Dependency definitions)

For the purpose of section 3 only a Passive NFFE (UK and Crown Dependency definitions) is any NFFE that is not an Active NFFE (UK definition)⁹.

¹²Non-Profit Organisation

The term "Non-Profit Organisation" means an entity that meets ALL of the following criteria:

- i. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- ii. It is exempt from income tax in its country of residence;
- iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- iv. The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- v. The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

¹³Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote and value in an entity.

We're committed to protecting and respecting your privacy

At Phoenix we're committed to maintaining the trust and confidence of our customers. Our Privacy Policy explains how we use our customers' personal information and you can find a copy on our website www.thephoenixgroup.com/site-services/privacy.aspx or by calling our Customer Service Team on 0345 584 2803.

Our Privacy Policy explains when and why we collect personal information about our customers, how we use it, the conditions under which we may share it with others and how we keep it secure. It also explains how long we keep your information, how you can obtain details of the information we hold about you, and the choices you have about how we use that information.

If you have any questions regarding our Privacy Policy or the way we use your information you can contact us by writing to Phoenix Unit Trust Managers Limited, Floor 1,1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland or you can call 0345 584 2803.

Advice

Did you receive advice given when you made this investment? Yes ☐ No ☐

If you did not receive advice, the statutory rights to cancellation will not apply.

Declaration and Authorisation

I/We apply to invest in the Fund(s) specified under the Investment Details section.

I/We have received an up-to-date version of the Key Investor Information Document (KIID) and Supplementary Information Document.

I/We confirm that I/we have regular access to the internet to use the website www.phoenixunittrust.co.uk to obtain the documents mentioned above and agree to the provision of the information via this medium or have otherwise been provided with paper versions of these documents.

All beneficial owners and other associated parties are known to me/us, and I/we undertake to make those named above aware that they may be subject to the same data protection and anti-money laundering verification provisions as outlined in the Supplementary Information Document.

I/We agree and understand that Phoenix Unit Trust Managers Limited may use the Delivery versus Payment exemption as detailed in the Supplementary Information Document and Prospectus.

Unit holder (I am over 18 years of age)

Signature	
Date	/ /

Second unit holder (if joint application – I am over 18 years of age)

Signature	
Date	/ /

Third unit holder (If joint application - I am over 18 years of age)

Signature	
Date	/ /

Fourth unit holder (if joint application – I am over 18 years of age)

Signature	
Date	/ /

Returning your form

Please send your completed form to:
Phoenix Unit Trust Managers Limited,
Floor 1,1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland

Note 1

The Money Laundering Regulations define beneficial owners as individuals either owning or controlling more than 25% of body corporates or partnerships (or at least 25% of trusts) or otherwise owning or controlling the customer. It is a regulatory requirement to identify the beneficial owner of each investment. A beneficial owner is normally an individual who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted. For private individuals, they themselves are normally the beneficial owner. For an investment made on behalf of a minor we require the minor's name/initials to be entered into the designation section. The beneficial owner in this instance will be the named unitholder.

For applicants who are a body corporate, partnership or trust (except for those regulated in the UK/EU or listed on a recognised exchange) details of beneficial owners, Directors or Controllers should be provided in writing when requested.

Note 2

Please make cheques payable to: 'Phoenix Unit Trust Managers Limited' (the product provider). Please return your completed application form, together with your cheque, to your financial adviser. Alternatively, please forward directly to Phoenix Unit Trust Managers Limited at the correspondence address shown below.

Note 3

In line with the Money Laundering Regulations 2007, Proceeds of Crime Act 2002 and FCA requirements (as updated from time to time), we, or your adviser, may have to check evidence of your identity. This may involve us carrying out an electronic search of information using credit reference agencies which may keep a record of this information although this is only to verify your identity and will not affect your credit rating. We, or your adviser, also have to verify the source of your investment Funds (if not from your own named account). Please therefore ensure your cheque is drawn from your own named (or joint named) bank or building society account to assist any checking requirements.

Contact: Investor Support

Call: **0345 584 2803**

Correspondence Address: Phoenix Unit Trust Managers Limited, Floor 1,1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland

This communication does not attempt to provide a full analysis of those matters with which it deals and is provided for general information purposes only. It is not intended to constitute financial or legal advice and should not be treated as a substitute for professional advice. Phoenix Unit Trust Managers Limited does not accept liability for any loss which may arise from reliance on the information in this communication.

Please note the full Prospectus is available free of charge. For a copy, phone Investor Support on 0345 584 2803

Telephone calls may be monitored and/or recorded for the purposes of security, internal training, accurate account operation, internal customer monitoring and to improve the quality of service.

Phoenix Unit Trust Managers Limited is authorised and regulated by the Financial Conduct Authority.
Phoenix Unit Trust Managers Limited is registered in England with Company No. 03588031 and has its registered office at : 1 Wythall Green Way, Wythall, Birmingham, B47 6WG