

# Phoenix Unit Trust Managers Limited

## Application Form

Please complete this application and return to: Phoenix Unit Trust Managers Limited, Floor 1, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland. Please refer to notes (Section 11) and ensure that all necessary enclosures are submitted with this application form. Defined terms used in this form shall have the meaning given to them in the prospectus.

This application form is for use by institutional investors wishing to invest in any of the following PUTM Bothwell Unit Trust Funds:

PUTM BOTHWELL UK ALL SHARE LISTED EQUITY FUND A ACC  
PUTM BOTHWELL UK ALL SHARE LISTED EQUITY FUND B ACC  
PUTM BOTHWELL ASIAPACIFIC (EXCLUDING JAPAN) FUND CLASS A ACC  
PUTM BOTHWELL ASIAPACIFIC (EXCLUDING JAPAN) FUND CLASS B ACC  
PUTM BOTHWELL EMERGING MARKETS EQUITY FUND CLASS A ACC  
PUTM BOTHWELL EMERGING MARKETS EQUITY FUND CLASS B ACC  
PUTM BOTHWELL EUROPEAN CREDIT FUND B CLASS ACC  
PUTM BOTHWELL EUROPEAN CREDIT FUND C CLASS EUR ACC  
PUTM BOTHWELL EMD UNCONSTRAINED FUND A ACC  
PUTM BOTHWELL EMD UNCONSTRAINED FUND B ACC  
PUTM BOTHWELL EURO SOVEREIGN FUND B CLASS ACC  
PUTM BOTHWELL FLOATING RATES ABS FUND CLASS B ACC  
PUTM BOTHWELL GLOBAL BOND FUND CLASS A ACC  
PUTM BOTHWELL GLOBAL BOND FUND CLASS B ACC  
PUTM BOTHWELL GLOBAL CREDIT FUND CLASS A ACC  
PUTM BOTHWELL GLOBAL CREDIT FUND CLASS B ACC  
PUTM BOTHWELL STERLING GOVERNMENT BOND FUND CLASS A ACC  
PUTM BOTHWELL STERLING GOVERNMENT BOND FUND CLASS B ACC  
PUTM BOTHWELL INDEX-LINKED STERLING HEDGED FUND CLASS B ACC  
PUTM BOTHWELL UK LISTED EQUITY INCOME FUND CLASS B INC  
PUTM BOTHWELL LONG GILT STERLING HEDGED FUND B CLASS ACC  
PUTM BOTHWELL NORTH AMERICA FUND CLASS A ACC

PUTM BOTHWELL NORTH AMERICA FUND CLASS B ACC  
PUTM BOTHWELL NORTH AMERICA FUND CLASS C ACC  
PUTM BOTHWELL NORTH AMERICA FUND CLASS D ACC  
PUTM BOTHWELL STERLING CREDIT FUND CLASS A ACC  
PUTM BOTHWELL STERLING CREDIT FUND CLASS B ACC  
PUTM BOTHWELL SHORT DURATION CREDIT FUND CLASS B ACC  
PUTM BOTHWELL ULTRA SHORT DURATION B GBP ACC  
PUTM BOTHWELL SUB-SOVEREIGN BOND A FUND ACC  
PUTM BOTHWELL SUB-SOVEREIGN BOND B FUND ACC  
PUTM BOTHWELL TACTICAL ASSET ALLOCATION FUND CLASS A ACC  
PUTM BOTHWELL TACTICAL ASSET ALLOCATION FUND CLASS B ACC

The agreement between you and Phoenix Unit Trust Managers Limited for investment into your chosen Funds will come into effect when a correctly completed application form and related subscription monies (and any relevant accompanying documents) are received and accepted by Phoenix Unit Trust Managers Limited. Phoenix Unit Trust Managers Limited reserves the right not to accept applications.

**Corporate details**

Account designation

Existing Account no. (if applicable)

Corporate name

Contact name

Address

Postcode

Telephone number\*

Fax number

**Alternative mailing address**

(If reports and notices should be sent to an address other than the one above please complete here)

Postcode

Country

## Partner/trustee details

Investments cannot be registered in the name of any partnership or trust, but must be registered in the names of the partners or Trustees, e.g. 'The Investor Trust Co Ltd, as Trustees for the ABC trust'. In the case of an unlimited society or association, investments can be registered in the name of 'The Secretary or Treasurer for the time being'. Please indicate the name of the trust or partnership below:

Please answer below Yes or No if any of the following apply to any of the applicants:

- I am an employee of a Phoenix Group entity<sup>1</sup>.
- I am an "immediate family member"<sup>3</sup> of an employee of a Phoenix Group Entity<sup>1</sup>.
- I am a director<sup>2</sup> of a Phoenix Group Entity<sup>1</sup>

Yes ☐ No ☐

<sup>1</sup>"Phoenix Group Entity" means The Phoenix Group or any of its controlled affiliates

<sup>2</sup>includes directorships of entities that serve as managing member, general partner or trustee of funds that have a Phoenix Group connection

<sup>3</sup>"immediate family members" include an employee's spouse, domestic partner and unemancipated children (including stepchildren, foster children, sons-in-law or daughters-in-law), whether or not they live in the same household as the employee. In addition, "immediate family members" also include the following relatives who are living within the same household as the employee: children (including stepchildren, foster children, sons-in-law and daughters-in-law), grandchildren, parents (including step-parents, mothers-in-law and fathers-in-law), grandparents, and siblings (including brothers-in-law, sisters-in-law and stepbrothers and stepsisters). Employees should also be aware that other holdings over which they have indirect ownership or control will generally be attributed to them.

---

## Investment details

Please indicate in the table(s) below your choice of fund(s) in which you would like to invest.

Please refer to the Prospectus for information on sub-fund names, minimum investment amounts, share classes and the availability of income and accumulation shares.

Sub-fund name	Lump sum £	Share class	Share type Income/Accum
	£		
	£		
	£		
	£		
	£		
	£		
	£		
	£		
	£		
	£		

Sub-fund name	Lump sum \$	Share class	Share type Income/Accum
	\$		
	\$		
	\$		
	\$		
	\$		

Sub-fund name	Lump sum €	Share class	Share type Income/Accum
	€		
	€		
	€		
	€		
	€		

## Tax exempt statement

The sub-funds offer share classes that distribute interest income gross of tax to eligible investors. Please confirm your eligibility status below:

We can confirm that we qualify for the gross payment of interest distributions as set out in the UT prospectus:

☐ ☐

### Payment instructions

#### I) Source of funds

Please note that Phoenix Unit Trust Managers Compliance Office reserves the right to request additional information.

Please insert source of funds i.e. internal funds

£  on (value day/date)  from

Bank account name

#### II) Bank-to-bank transfer

We have arranged a bank-to-bank transfer.

Name of Bank

Address

  

Bank details

Postcode

Country

Account number

Bank

To: PUTM Bank Account

Account number

Sort code

Account name

All payments due to you will be paid into the account of the registered holder as specified above unless you expressly request otherwise in writing at least 10 days in advance of any proposed redemption.

## 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.

We further authorise Phoenix Unit Trust Managers Limited to remit the proceeds of any such redemption in accordance with the following instruction:

By electronic funds transfer to:

Bank name

Branch name

Sort code

Account name:

Account number

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.

## Self-certification – foreign account tax compliance act

Tax regulations<sup>1</sup> 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 relating to your investment 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 the Appendix to this form for key definitions. Should any information provided by you change in the future, please ensure you advise us of the changes promptly.

### Tax residency

If your organisation has more than one country of tax residency, please provide details 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 Person<sup>2</sup> in the country stated in 1.1 above, please tick this box ☐

### Organisation's classification under applicable Tax Regulations<sup>1</sup>

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

#### A. Classification

2.1 UK Financial Institution or a Partner Jurisdiction Financial Institution<sup>4</sup>

☐

2.2 Participating Foreign Financial Institution<sup>4</sup>

☐

2.3 Non-Participating Foreign Financial Institution<sup>4</sup>

☐

2.4 Financial Institution resident in the USA or in a US Territory<sup>4</sup>

☐

2.5 Deemed Compliant Foreign Financial Institution (besides those listed above)<sup>4</sup>

☐

2.6 Exempt Beneficial Owner<sup>5</sup>

☐

2.7 Active Non- Financial Entity<sup>6</sup>

☐

2.8 Passive Non-Financial Entity<sup>8</sup>

☐

A Passive Non-Financial Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons<sup>9</sup>

B. If your organisation is a financial institution, please tick this box if it is an Investment Entity<sup>11</sup>

☐

An investment Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons<sup>9</sup>



**Investment consultant  
authorisation**

We hereby appoint the following investment consultant:

Contact name:

☐ We authorise you to give our investment consultant information relating to our account

☐ We authorise you to accept any instruction to switch between funds issued by our investment consultant. This authority does not extend to redemptions or switching outside the aforementioned funds. We hereby acknowledge that the Manager is not liable for acting on any instructions from or purporting to come from our investment consultant.

Full name of regulated investment consultant

## Data protection

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](http://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](http://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