



TU Fund Managers

Application Forms

No one cares more



Check List

If you have any queries when completing your Application Form, please contact your Financial Adviser or TU Fund Managers on **0800 279 0887**

Telephone calls may be recorded

1. You must read the Simplified Prospectus before completing an Application Form.
2. Please complete your Application Form in BLOCK CAPITALS.
3. All the required details for each section must be completed.
4. Cheques for lump sum investments and first monthly instalments of Regular Savings Plans should be made payable to TU Fund Managers Limited.
5. Bank or Building Society cheque – Please ensure the account name of the person from whose account the payment is drawn is printed on the cheque.
6. Direct Debit – please complete with your full Bank details and sign the instruction.
7. ISA – Please make sure you have read and signed the declaration.
8. Return the Application Form and cheque (if applicable) to: TU Fund Managers Limited, P.O.Box 55736, 50 Bank Street, Canary Wharf, London E14 1BT.

ISA Investors please remember:

- You can only take out one Stocks & Shares ISA in any one tax year.
- ISA Investment Allowances to 5th April 2012:
 - Age 18+ £10,680 (up to £5,340 may be invested in a Cash ISA).
- Please ensure we have your full name and address, date of birth and National Insurance number, without this we cannot open an ISA for you. (If you have never had a National Insurance Number please indicate this on the form).

Identity Checks

The Money Laundering Regulations 2007, The Proceeds of Crime Act 2003, The FSA Senior Management Arrangements Systems & Controls Source Book and Joint Money Laundering Group Steering Committee guidance notes (which are updated from time to time) state that we must check your identity and the source of the money invested. The checks may include an electronic search of information held about you on the electoral roll and 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. If you fill in the application form you are giving us permission to ask for this information in line with the Data Protection Act 1998. If you invest through a financial adviser they must fill an identity verification certificate on your behalf and send it to us with your application.



TU Unit Trust Application Form

FOR OFFICE USE ONLY

REF:

AGENTS DETAILS

Both sides of this form should be completed, in capitals, and sent to:

TU Fund Managers Limited
P.O.Box 55736, 50 Bank Street, Canary Wharf, London E14 1BT

I/We wish to invest in TU Unit Trusts as follows:

LUMP SUM INVESTMENTS (min. £1,000 per trust)

TU British Trust £

TU European Trust £

Total £

REGULAR SAVINGS PLAN (min. £50 per month per trust)

TU British Trust, per month £

TU European Trust, per month £

Total £

I/We enclose my/our cheque (payable to TU Fund Managers Limited), being the total lump sum and/or first monthly investment.

Regular Savers must also complete the Direct Debit Mandate below, which should be in the same name as the cheque for the first monthly investment.

I/We understand that the price applicable will be the offer price ruling at the next valuation point following receipt of this Application by the Managers at their Bank Street office, and shall be invested in accordance with the terms of the Trust Deed(s), Prospectus and the Financial Services and Markets Act 2000.

I/We understand that if I am/we are investing in the Regular Savings Plan, the price applicable for subsequent monthly investments will be the offer price ruling on the 10th day of each month or next working day, and that the units will be registered in the name of, and held by, TU Fund Managers Limited in the capacity of bare trustee on my/our behalf, or any other company subsequently nominated by them for this purpose.

TU Fund Managers will treat you as a retail customer unless we notify you otherwise.

Data Protection

We may transfer your personal records to countries located outside the European Economic Area (EEA). This may happen when our servers, suppliers and/or service providers are based outside the EEA. The data protection laws and other laws of these countries may not be as comprehensive as those that apply within the EEA. In these instances we will take steps to ensure that your privacy rights are respected. Details relevant to you may be provided upon request.

Information provided by you on this form, details of how your holding is operated and records kept when you use it may be shared amongst TU Fund Managers, their agents and contractors and analysed to enable those companies to: provide the service you applied for, and to update and enhance their records. TU Fund Managers may inform you of their other products and services which may be of interest.

If you prefer not to receive such information please tick this box

Please see overleaf

INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT



Please complete parts 1 to 5 to instruct your Bank or Building Society to make payments from your account.

Please fill in the form and send to:

TU Fund Managers Ltd, P.O.Box 55736, 50 Bank Street, Canary Wharf, London E14 1BT

1. Name and full postal address of your Bank or Building Society

To the Manager

Bank/Building Society

Address

Postcode

2. Name(s) of account holder(s)

3. Bank/Building Society account number

4. Branch Sort Code

Originator's identification number

9 7 0 6 1 6

Reference number

5. Instruction to the Bank or Building Society

Please pay TU Fund Managers Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with TU Fund Managers Limited and, if so, details will be passed electronically to my Bank or Building Society.

Signature(s)

Date

Note: Banks or Building Societies may refuse to accept instructions to pay direct debits from some types of account.

TEAR ALONG PERFORATION



TU Fund Managers

I/We hereby instruct you to register the holding as set out below.
(Investment by Trustees should show only their individual names.) Applicants must be aged 18 or over.

Please complete in BLOCK CAPITALS.

If you are adding to an existing account please quote the account number here: 6

1. Title (eg. Mr/Mrs/Miss/Ms) Surname
First Names (in full)
Address

Postcode Account designation

Joint Holder(s) (if applicable)

2. Title (eg. Mr/Mrs/Miss/Ms) Surname
First Names (in full)
3. Title (eg. Mr/Mrs/Miss/Ms) Surname
First Names (in full)
4. Title (eg. Mr/Mrs/Miss/Ms) Surname
First Names (in full)

What to do with my/our income:-

A I/We wish to re-invest my/our income in the purchase of further units. (Please tick box if so)

NB: If you are investing in the Regular Savings Plan, dividends will be automatically re-invested.

or

B I/We would like our income paid into the following UK Bank Account :-

Name of UK Bank/Building Society

Address

Postcode Account Name

Bank Account Number

Building Society roll number (if applicable)

Branch Sort Code

I/We confirm that I/we did not receive advice from TU Fund Managers.
I/We have received, read and understood the Simplified Prospectus in relation to the investment.

Signature(s) (In the case of joint holders all must sign)

1. 3.

2. 4.

Date

TU Fund Managers Limited
P.O.Box 55736
50 Bank Street
Canary Wharf
London
E14 1BT

For TU Fund Managers Official Use Only

(This is not part of the instruction to your Bank or Building Society)

Date Received:

Amount of DDM:

Date of 1st Payment:

Date Input: Initialed:

Date Verified: Initialed:



AUTHORISATION

I AUTHORISE TU FUND MANAGERS LIMITED AS THE ACCOUNT MANAGER:

1. To hold my cash subscriptions, ISA investments, interest, distributions and any other rights or proceeds in respect of those investments and any other cash.
2. To make on my behalf any claims to relief from tax in respect of my account investments.

DECLARATION

1. I am 18 years of age or over.
2. I have read and understood the terms and conditions applicable to the Individual Savings Account for which I am applying and, if my application is accepted, agree to be bound by those terms.
3. I have received, read and understood the Simplified Prospectus in relation to this investment.
4. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a Cash ISA and a Stocks & Shares ISA in the same tax year.
5. I have not subscribed, and will not subscribe, to another Stocks & Shares ISA in the same tax year that I subscribe to this Stocks & Shares ISA.
6. I am resident and ordinarily resident in the UK for tax purposes, or if not so resident, either perform duties which, by virtue of section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform the Account Manager if I cease to be so resident and ordinarily resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
7. This application shall have effect for the tax year 20 and for each successive year following that year in which I subscribe to the account.
8. All subscriptions made, and to be made, belong to me.
9. If I exercise my (14 day) Cancellation Rights, I understand that I will have repaid to me any money I have paid the Manager subject to a deduction of the amount (if any) by which the value of my investment has fallen at the time at which my Cancellation Form is received by the Manager.

I declare that the above information is true and correct to the best of my knowledge and belief and I undertake to inform the Account Manager in writing without delay of any change of circumstances that may affect these circumstances.

Signed

Date

I confirm that I did not receive advice from TU Fund Managers.

TU Fund Managers will treat you as a retail customer unless we notify you otherwise.

Data Protection

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Information provided by you on this form, details of how your holding is operated and records kept when you use it may be shared amongst TU Fund Managers, their agents and contractors and analysed to enable those companies to: provide the service you applied for, and to update and enhance their records. TU Fund Managers may inform you of their other products and services which may be of interest.

If you prefer not to receive such information please tick this box

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1. To hold my cash subscriptions, ISA investments, interest, distributions and any other rights or proceeds in respect of those investments and any other cash.
2. To make on my behalf any claims to relief from tax in respect of my account investments.

DECLARATION

1. I am 18 years of age or over.
2. I have read and understood the terms and conditions applicable to the Individual Savings Account for which I am applying and, if my application is accepted, agree to be bound by those terms.
3. I have received, read and understood the Simplified Prospectus in relation to this investment.
4. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a Cash ISA and a Stocks & Shares ISA in the same tax year.
5. I have not subscribed, and will not subscribe, to another Stocks & Shares ISA in the same tax year that I subscribe to this Stocks & Shares ISA.
6. I am resident and ordinarily resident in the UK for tax purposes, or if not so resident, either perform duties which, by virtue of section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform the Account Manager if I cease to be so resident and ordinarily resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
7. This application shall have effect for the tax year 20 and for each successive year following that year in which I subscribe to the account.
8. All subscriptions made, and to be made, belong to me.
9. If I exercise my (14 day) Cancellation Rights, I understand that I will have repaid to me any money I have paid the Manager subject to a deduction of the amount (if any) by which the value of my investment has fallen at the time at which my Cancellation Form is received by the Manager.

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DECLARATION

1. I am 18 years of age or over.
2. I have read and understood the terms and conditions applicable to the Individual Savings Account for which I am applying and, if my application is accepted, agree to be bound by those terms.
3. I have received, read and understood the Simplified Prospectus in relation to this investment.
4. I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash ISA and a Stocks & Shares ISA in the same tax year.
5. I am resident and ordinarily resident in the UK for tax purposes, or if not so resident, either perform duties which, by virtue of section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform the Account Manager if I cease to be so resident and ordinarily resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
6. If I exercise my (14 day) Cancellation Rights, I understand that I will have repaid to me any money transferred on my behalf to the Manager subject to a deduction of the amount (if any) by which the value of my investment has fallen at the time at which my Cancellation Form is received by the Manager. The return of this money will mean that I will have terminated my ISA for all tax years transferred to TUFM under this transaction. I will no longer be able to hold the withdrawn amount within an ISA, losing all future tax benefits associated with it.

I declare that the above information is true and correct to the best of my knowledge and belief and I undertake to inform the Account Manager in writing without delay of any change of circumstances referred to in this Declaration.

Signed

Date

I confirm that I did not receive advice from TU Fund Managers.

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THE DIRECT DEBIT GUARANTEE

- This 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 TU Fund Managers Ltd will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request TU Fund Managers Ltd 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 TU Fund Managers Ltd 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 TU Fund Managers Ltd asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.



**Managers of the Unit Trusts,
and Account Manager of the
Individual Savings Account.**

TU Fund Managers Limited

Head Office
Congress House, Great Russell Street
London WC1B 3LQ

Investor Administration

P.O.Box 55736
50 Bank Street
Canary Wharf
London E14 1BT

Useful telephone numbers:

Investor Administration & Valuations

UK callers phone free from a BT landline on 0800 279 0887

Overseas Callers use 0870 870 8367

Literature: 0800 279 0887

Marketing: 020 7637 7116

Telephone calls may be recorded

Trustee

HSBC Bank plc
8 Canada Square
London E14 5HQ

Auditors

Shipleys LLP
10 Orange Street, Haymarket
London WC2H 7DQ

Investment Managers

Scottish Widows Investment Partnership
33 Old Broad Street,
London EC2N 1HZ



TU Fund Managers

www.tufm.co.uk

Authorised and regulated by the Financial Services Authority