

### SECTION A PERSONAL DETAILS

This section is mandatory

Please provide all of your personal details.

Providing your email address will allow us to send certain documentation via email. Without providing an email address you will be unable to update your account via email. This includes new investments into your account and redemptions from your account.

#### Client Identification

In order to comply with Money Laundering Regulations we need to verify your identity. We do this by checking your details against an electronic identity verification platform. These checks won't have any impact on your credit rating. If we can't verify your identity we may write to you with further requirements.

#### Overseas Investors

If you are a non-UK resident please contact us before investing to discuss your tax position.

### SECTION D INVESTMENT DETAILS

This section is mandatory

Please provide details of your investment choices.

The SEDOL/ISIN of your chosen funds are available from your Financial Adviser. Alternatively they are available in the funds section of our website [www.marlboroughfunds.com](http://www.marlboroughfunds.com). Minimum investment requirements are also available on the website within each fund prospectus.

#### Payments

Cheques must be made payable to Marlborough Fund Managers Ltd and must be drawn on an account in the name of the applicant.

**ISA Application Form**  
2020/2021

**Marlborough**  
Fund Managers

Please complete this application form in **BLOCK CAPITALS** and return to: Marlborough Fund Managers Ltd, Marlborough House, 59 Chorley New Road, Bolton BL1 4QP or to your financial adviser.

**SECTION A - PERSONAL DETAILS - please complete this section in full as this is mandatory**

Title Surname Forename(s)  
Permanent residential address Postcode  
Nationality Date of birth  
National Insurance number If you do not have a NI number please tick the box   
Telephone number Email address  
Existing holder ID / account number (if known)  
How would you like to receive documentation related to your investments?  Post  Email

I apply to subscribe to a Stocks & Shares ISA for the tax year 2020/2021 and each consecutive tax year thereafter, until further notice. (Please be aware that this statement, recommended by HMRC, enables you to invest in consecutive tax years without the need for a new application form. It does not oblige you to invest with Marlborough Fund Managers in consecutive tax years unless you decide to do so.)

**SECTION B - FINANCIAL ADVISER'S DETAILS - to be completed by your financial adviser, if applicable**

Adviser's name/firm  
Adviser's email address  
FCR/FRN number  
Agency code (if known)  
Please tick all which apply  
 Cancellation rights apply  Discretionary business  Advised business  
 Execution only  Portfolio management services

Adviser's firm stamp

**SECTION C - INCOME INSTRUCTION & BANK DETAILS - please tick only one option. This section is mandatory**

When providing bank details please ensure these are accurate as we cannot accept any responsibility for payments made to incorrect account details which have been provided here.

REINVEST INCOME (accumulation shares will be used where available) OR  PAY INCOME TO MY BANK ACCOUNT (see below)

Cheques cannot be sent for dividend payments, if bank details are not provided income will be reinvested.

Name of bank/building society  
Name of account holder  
Bank account number Sort code  
Rail number / building society reference

Marlborough Fund Managers Ltd is authorised and regulated by the Financial Conduct Authority and is a member of The Investment Association  
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### SECTION B FINANCIAL ADVISER DETAILS

If you are investing via a financial adviser they will need to complete this section.

### SECTION C INCOME INSTRUCTION & BANK DETAILS

This section is mandatory

Please tell us what you would like us to do with any income from your investment.

If no bank details are provided we are unable to pay out any income and this will instead be reinvested, using accumulation shares where available.

Any payment made must be to an account held in your name. We are unable to offer dividend payments by cheque.

### SECTION E MANDATE DETAILS

Please complete this section in full for monthly investments or leave this blank if you are investing a lump sum.

NB the bank account name must match the name of the applicant.

### SECTION F PRIVACY NOTICE

Please inform us if you wish to be kept informed of our investment products and services.

**SECTION D - INVESTMENT DETAILS - please provide details of your investment choices. This section is mandatory**

Fund name	SEDOL/ISIN of Fund	Lump Sum Investment	Monthly Amount
1.			
2.			
3.			
4.			
5.			
Investment limit amount for the tax year 2020/2021		£20,000.00	TOTAL

Lump sum investment: Please pay via cheque addressed to Marlborough Fund Managers Ltd.  
Monthly: Please ensure that section E is fully completed to allow us to process your application. Maximum investment amount in an ISA is £1000 per month.

**SECTION E - MANDATE DETAILS - INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT**

A. The Manager: Marlborough Fund Managers Ltd, Marlborough House, 59 Chorley New Road, Bolton BL1 4QP  
Address: \_\_\_\_\_  
Postcode: \_\_\_\_\_  
Service User No: 912121  
Reference: (to be completed by Marlborough)

Name(s) of (Account Holder): \_\_\_\_\_  
Bank/Building Society: \_\_\_\_\_  
Branch Sort Code: \_\_\_\_\_  
Date Name: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Please be aware that any bank details provided in this section will override any existing bank details that we may hold for you, unless otherwise stated.  
We will write to you to confirm the date on which your Direct Debit will be collected.

**SECTION F - PRIVACY NOTICE**

We're committed to processing the personal data that you provide to us in line with the latest data protection and data privacy legislation in force within the United Kingdom. We'll use your information in order to provide the services you've asked for in this Application Form and to administer your investments, communicate with you and provide information on our products and services when you request it, to meet our legal obligations and for the purposes of fraud prevention.

Our full Privacy Notice  
It's important that you understand how the personal information you give us will be used. We strongly advise that you read our full Privacy Notice, which you can find on our website at [www.marlboroughfunds.com](http://www.marlboroughfunds.com), or you can ask us for a copy.

COMMUNICATING WITH YOU INCLUDING DIRECT MARKETING  
We'd like to tell you know about Marlborough investment products and services we think would be of interest to you. However, we'll only contact you if you consent by ticking the boxes below.

Your marketing preferences  
I'm happy for Marlborough Fund Managers Ltd to contact me in the following ways about investment products, services and promotional offers that may be of interest.  
Please tick here: By post  By phone  By email

You can withdraw your consent at any time by letting us know by post, phone or email. We'll continue to use your contact details for sending regular statements, changes to terms and conditions, account enquiries, and as required by law.

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## SECTION G DECLARATION

This section is mandatory.

Please ensure you read this section fully and sign & date in the appropriate place.

**SECTION G - DECLARATION - please ensure that you read and sign this section as this is mandatory**

I declare that I have read and understood the relevant Key Investor Information Document (KIID), the Supplementary Information Document (SID) and the Marlborough Fund Managers Ltd Terms & Conditions and agree to be bound to these. I understand that these documents form part of the terms and conditions of my investment in the fund(s) and are available at [www.marlbroughfunds.com](http://www.marlbroughfunds.com)

**G**

- To the best of my knowledge and belief, all statements made in this application form are true and correct and I shall inform my manager immediately of any changes herein
- I declare that I am 18 years of age or over. I am resident in the United Kingdom (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 Marlborough Fund Managers Ltd if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties
- I confirm that I am not a US Person (either a resident or citizen) and acknowledge that US Persons cannot hold shares/units in the fund(s)
- I apply to subscribe for a Stocks & Shares ISA for the tax year and amount, stated overleaf and any consecutive years thereafter
- 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
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks & shares ISA, an innovative finance ISA and a Lifetime ISA in the same tax year
- All subscriptions made and to be made belong to me
- I hereby authorise Marlborough Fund Managers:
  - (i) to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash
  - (ii) to make on my behalf any claims or relief from tax in respect of ISA investments
- I have read the Marlborough Fund Managers Privacy Notice concerning the use of my personal data

Client Signature \_\_\_\_\_ Date | | | | | | | | | |

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**SECTION H - THE DIRECT DEBIT GUARANTEE - please retain for your own records**

Banks and Building Societies may not accept Direct Debit Instructions for some types of account. This guarantee should be detached and retained by the payer.

**H**

- 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 Marlborough Fund Managers Ltd will notify you 3 working days in advance of your account being debited or as otherwise agreed. If you request Marlborough 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 Marlborough 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 Marlborough 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.

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## SECTION H THE DIRECT DEBIT GUARANTEE

This section is to be retained by you. Please cut off this section before sending in your application.

### CHECKLIST

- Have you read the KIID and SID for the fund(s) you are investing in?
- Lump sum investment: have you enclosed a cheque for the investment amount made payable to Marlborough Fund Managers Ltd?
- Monthly Investment: have you completed section E to set up your Direct Debit and detached & kept the Direct Debit Guarantee in section H?
- Have you provided up to date bank details if you wish to have your income paid out to you? Without bank details any income will be reinvested using accumulation shares where available
- Have you read, signed & dated the declaration?
- Have you read the Marlborough Fund Managers Ltd Terms & Conditions?

### WHAT IS A KIID & SID?

The KIID (Key Investor Information Document) is a document which gives key information about a fund(s) including the nature and risk of the fund. The SID (Supplementary Information Document) is a document which provides additional useful information you should be aware of before investing with Marlborough. These documents are available within the funds section of our website [www.marlbroughfunds.com](http://www.marlbroughfunds.com) and must be read before submitting the application.

 Marlborough House, 59 Chorley New Road, Bolton, BL1 4QP

 Investor Support: 0808 145 2500

 Email: [enquiries@marlbroughfunds.com](mailto:enquiries@marlbroughfunds.com)

 Website: [www.marlbroughfunds.com](http://www.marlbroughfunds.com)

**Marlborough**  
Fund Managers