

Application form

Jersey and Luxembourg Regulated Funds



For Corporate Accounts Only.

Please use this application form to subscribe to any of the following funds:

- Ashburton Money Market Funds Limited ("**Money Market**")
- Ashburton Investments SICAV ("**SICAV**") via Jersey General Nominees Limited

Prospective investors are strongly recommended to read and consider the relevant prospectus before completing this application form. Please complete ALL sections of this application form in BLOCK CAPITALS.

Please return to JTC Fund Solutions (Jersey) Limited as Administrator of the funds, as below:

Ashburton Investments
PO Box 13422
DUNMOW
CM7 0PY
United Kingdom

1. Investment details

Please indicate the Fund(s) in which you wish to invest. The minimum investment for each fund is detailed in the relevant fund prospectus.

Fund	Investment	Accumulating/ Distributing
Ashburton Money Market Funds Limited ("Money Market")		
Dollar Money Market Feeder Fund	US\$	
Ashburton Investments SICAV ("SICAV")		
Global Balanced Fund	US\$	
Global Balanced Fund	€	
Global Balanced Fund	£	
Global Growth Fund	US\$	
Global Growth Fund	£	
Global Leaders Equity Fund	US\$	
Global Leaders Equity Fund	£	
Global Equity Growth Fund	US\$	
Total		



2. Standard settlement instructions

Please indicate your choice with a tick. If no box is ticked, dividends will be automatically re-invested. If you are invested in more than one currency, please advise us of payment details separately.

☐ I/We hereby request that all dividends which may from time to time become payable on shares registered in my/our name(s) be reinvested; or

☐ Forwarded to the following bank details:

Name of bank	<input type="text"/>	Sort/SWIFT code	<input type="text"/>
Address	<input type="text"/>	Postcode	<input type="text"/>
Account name	<input type="text"/>	Account number	<input type="text"/>
Currency	<input type="text"/>	IBAN number	<input type="text"/>

The bank details provided above will be used to settle all redemption instructions unless otherwise advised. If bank details are not provided above, details will be requested at the time of your redemption.

3. Method of payment

Your subscription can be paid by electronic bank transfer, please refer to page 13 for details.

Please note that:

- i. Requests for payments to a third party will not be accepted.
- ii. Incoming payments will only be accepted from an account in the name of the investor. We cannot accept any payments introduced by a third party.
- iii. Shares will be allocated as soon as reasonably practicable after receipt of cleared funds, or as otherwise agreed with Ashburton (Jersey) Limited, provided that all requisite documentation has been received and accepted. Investors should ensure that sufficient time is allowed for their payments to clear.
- iv. Full bank account details will be requested at the time of a redemption request.

4. Application details

Corporate details

Corporate name

Corporate account applicant

Full name and title of account

Account designation (if required)



4. Application details (continued)

Place of incorporation		Date of incorporation	
Corporate Administrator name			
Corporate Administrator's registered office address			
Town		Country	
Postcode			

5. Contact details for the primary contact for the corporate

Contact's full name			
Telephone number (work)		Mobile number	
Email address		Fax number	
Registered office address			
Town		Country	
Postcode			

6. Correspondence

Correspondence address (if different to above)			
Town		Country	
Postcode			

Valuations

Valuations are prepared quarterly and will be delivered to you via the Ashburton Online Portal unless you tick the box to opt out:

☐ I do not wish to receive valuations via the online portal, please send them via email.

7. Keeping you informed - General Data Protection Regulation 2018

We send email communications to keep you informed about our range of Funds and Portfolios, the latest company news, events and articles that we feel may be of interest.

To opt in to receiving these email communications, please tick the box below (you can opt out in the future):

☐ I am interested in receiving investment updates, Fund and Portfolio news, market insight/articles, Fund and Portfolio commentaries, and company news.



8. Tax classification

TIN

GIIN

Sponsored Financial Institution - FI

☐ Yes ☐ No

Sponsored legal name
(if applicable)

Financial Institutions - FI

☐ Participating Foreign FI ☐ FI in a Model 1 IGA Country ☐ Sponsored FI
☐ FI in a Model 2 IGA Country ☐ Registered Deemed Compliant FI ☐ Offshore Islands FI
Other

If you are an FI and unable to provide a GIIN, please select a reason below.

☐ Non Participating Foreign FI ☐ Exempt Beneficial Owner ☐ GIIN has been applied for and is pending
☐ Non reporting IGA FFI ☐ Other

Non-Financial Foreign Entities - NFFE

☐ Active ☐ Passive*
☐ Excepted ☐ Other

*All controlling parties must complete section 10.

9. Anti money laundering

Relationship information

Type, value and volume of expected activity (eg. a single investment of £xxx)

What are the business activities of the trust?

Source of funds – Describe the activities which have generated the funds e.g. Beneficial Owners' occupation or business activities, salary or inheritance and provide details. Please include details of which country/countries the funds originated from.

Originating country/countries of funds



9. Anti money laundering (continued)

Source of wealth – Describe the activities which have generated the Settlor's total personal net worth i.e. employment, business activities, property. Please include details of the country/countries within which the Settlor's personal net worth was originated.

Does the corporate or anyone relating to the corporate have an existing relationship with Ashburton? If so provide details. (eg. Client number: (PXXXXXX / C_XXXX))

Is any party connected with/to the Trust a Politically Exposed Person (PEP) or a family member or a close associate of a PEP?

☐ Yes ☐ No

Is any party connected with/to the Corporate connected with a high risk jurisdiction?

☐ Yes ☐ No

Is the Corporate part of a complex structure? (If yes, please provide a structure chart.)

☐ Yes ☐ No

Does the Corporate issue bearer shares?

☐ Yes ☐ No

If answered yes to any of the above please provide a full explanation, further documentary evidence may be required. (Please continue on a separate piece of paper if you run out of space here)

10. Due diligence details of individuals connected to the corporate

Details of all Shareholders with a holding of 10% or more should be included here. (Please provide the page as many times as required).

Person 1

☐ Director (if individual) ☐ Beneficial owner/Shareholder

Full name (include former names
eg. maiden name if applicable)

Place of employment

Position held

Principal residential address

Town

Country

Postcode



10. Due diligence details of individuals connected to the corporate (continued)

Person 1

Date of birth		Gender	
Town/City of birth		Country of birth	
Nationality/Dual nationality		Passport/ID Card No	
Country of Issue			

Certified copy held bearing a true likeness to the individual above:

☐ Yes ☐ No

Address verification obtained via original/certified copy utility bill:

☐ Yes ☐ No

If Person 1 has more than one country of tax residence, please advise us upon submission of application.

Country of tax residence		Domicile	
Tax Identification Number (Non-UK residents)		National Insurance/Social Security Number (UK and CI residents only)	

US Green Card Holder

☐ Yes ☐ No

US Citizen

☐ Yes ☐ No

Person 2

☐ Director (if individual) ☐ Beneficial owner/Shareholder

Full name (include former names eg. maiden name if applicable)			
Place of employment		Position held	
Principal residential address			
Town		Country	
Postcode			
Date of birth		Gender	
Town/City of birth		Country of birth	
Nationality/Dual nationality		Passport/ID Card No	
Country of Issue			



10. Due diligence details of individuals connected to the corporate (continued)

Person 2

Certified copy held bearing a true likeness to the individual above:

☐ Yes ☐ No

Address verification obtained via original/certified copy utility bill:

☐ Yes ☐ No

If Person 2 has more than one country of tax residence, please advise us upon submission of application.

Country of tax residence	<input type="text"/>	Domicile	<input type="text"/>
Tax Identification Number (Non-UK residents)	<input type="text"/>	National Insurance/Social Security Number (UK and CI residents only)	<input type="text"/>

US Green Card Holder

☐ Yes ☐ No

US Citizen

☐ Yes ☐ No

Person 3

☐ Director (if individual) ☐ Beneficial owner/Shareholder

Full name (include former names eg. maiden name if applicable)	<input type="text"/>		
Place of employment	<input type="text"/>	Position held	<input type="text"/>
Principal residential address	<input type="text"/>		
Town	<input type="text"/>	Country	<input type="text"/>
Postcode	<input type="text"/>		
Date of birth	<input type="text"/>	Gender	<input type="text"/>
Town/City of birth	<input type="text"/>	Country of birth	<input type="text"/>
Nationality/Dual nationality	<input type="text"/>	Passport/ID Card No	<input type="text"/>
Country of Issue	<input type="text"/>		

Certified copy held bearing a true likeness to the individual above:

☐ Yes ☐ No

Address verification obtained via original/certified copy utility bill:

☐ Yes ☐ No



10. Due diligence details of individuals connected to the corporate (continued)

Person 3

If Person 3 has more than one country of tax residence, please advise us upon submission of application.

Country of tax residence		Domicile	
Tax Identification Number (Non-UK residents)		National Insurance/Social Security Number (UK and CI residents only)	

US Green Card Holder

☐ Yes ☐ No

US Citizen

☐ Yes ☐ No

Person 4

☐ Director (if individual) ☐ Beneficial owner/Shareholder

Full name (include former names eg. maiden name if applicable)			
Place of employment		Position held	
Principal residential address			
Town		Country	
Postcode			
Date of birth		Gender	
Town/City of birth		Country of birth	
Nationality/Dual nationality		Passport/ID Card No	
Country of Issue			

Certified copy held bearing a true likeness to the individual above:

☐ Yes ☐ No

Address verification obtained via original/certified copy utility bill:

☐ Yes ☐ No



10. Due diligence details of individuals connected to the corporate (continued)

Person 3

If Person 4 has more than one country of tax residence, please advise us upon submission of application.

Country of tax residence		Domicile	
Tax Identification Number (Non-UK residents)		National Insurance/Social Security Number (UK and CI residents only)	

US Green Card Holder

☐ Yes ☐ No

US Citizen

☐ Yes ☐ No

11. Documentation

Jersey equivalent jurisdictions are those which the Jersey Financial Services Commission (JFSC) consider to have anti money laundering regulations in place equivalent to those of Jersey or consistent with the Financial Actions Task Force (FATF) recommendations.

Further details can be found in the in the AML/CFT/CPF handbook on the JFSC website and can be viewed at the following link: <https://www.jerseyfsc.org/industry/financial-crime/amlcftcpf-handbooks/amlcftcpf-handbook/and> as amended from time to time.

A Certification Guidance Document can be found on our website and details the due diligence documents we accept.

Due diligence requirements

for a Corporate regulated in a Jersey equivalent jurisdiction:

- ☐ Completion of the application form
- ☐ Proof of regulation
- ☐ Certified copy of current authorised signatory list dated in the last 3 months

for a non-regulated Corporate or a Corporate based in a non-equivalent jurisdiction:

- ☐ Completion of the application form
- ☐ Structure chart (if applicable)
- ☐ Certified copy of Certificate of Incorporation
- ☐ Certified copy of Memorandum and Articles of Association
- ☐ Certified copy of Register of Shareholders (Due diligence may also be required for all Shareholders holding more than 10%)
- ☐ Certified copy of Register of Directors and Secretary (Due diligence may also be required for all c urrent Directors and Secretaries)
- ☐ Certified copy of current authorised signatory list dated in the last 3 months (Due diligence may also be required for all authorised Signatories)



11. Documentation (continued)

for Shareholders, Directors, Secretaries and Signatories that are natural persons:

- ☐ Certified copy of identity document
- ☐ Certified copy of address verification dated in the last 3 months

for Shareholders that are a Trust:

Certified copy of an extract of the Trust Deed to include:

- ☐ The name of the Trust
- ☐ Date and place of settlement
- ☐ Names of Trustee, Settlor/s and Protector/s (if applicable)
- ☐ Names of Beneficiaries
- ☐ Type of Trust
- ☐ Signatures of Trustees

for Shareholders and Directors that are a Corporate:

- ☐ Structure chart if applicable
- ☐ Certified copy of Certificate of Incorporation
- ☐ Certified copy of Register of Shareholders (Due diligence may also be required for all Shareholders holding more than 10%)
- ☐ Certified copy of Register of Directors and Secretary (Due diligence may also be required for all current Directors and Secretaries)

Due diligence requirements (continued)

for a corporate Trustee:

- ☐ Certified copy of Certificate of Incorporation
- ☐ Certified copy of Memorandum and Articles of Association
- ☐ Certified copy of Register of Shareholders (due diligence is required for all Shareholders holding more than 10%)
- ☐ Certified copy of Register of Directors and Secretary (due diligence is required for Secretary and all current Directors)
- ☐ Certified copy of current authorised signatory list dated in the last 3 months (due diligence is required for all authorised Signatories)



12. Signing authority

We hereby authorise and instruct Ashburton (Jersey) Limited to act upon the request or instruction:

☐ In accordance with the authorised signatory list provided.

OR

☐ Other (please provide name/s and in what capacity they can sign).

Authority 1 Name

Authority 2 Name

Authority 1 Position

Authority 2 Position

13. Signatures and declaration

All statements below made on behalf of Ashburton (Jersey) Limited should infer, where relevant, to JTC Fund Solutions (Jersey) Limited as administrator to the funds and / or, where appropriate as services provider to JGNL.

- i. I/We hereby acknowledge that prior to investing in any Fund I/we will have received and considered the applicable current Key Investor Information Document (relevant to Ashburton Investments SICAV only) and Prospectus and that this application is made under the terms of the relevant, Ashburton Money Market Funds Limited or Ashburton Investments SICAV Prospectus and Memorandum and Articles of Association.
- ii. I/We declare that I am/we are not a US person(s) as described in the current Prospectus of Ashburton Investments SICAV, or Ashburton Money Market Funds Limited and that I am/we are not applying as the Nominee of a person who is a US person except for such person as permitted in a transaction that does not violate United States' securities laws.
- iii. I/We confirm that I am/we are over the age of 18 years and I am/we are aware of any possible taxation implications applicable within my/our relevant jurisdiction(s) resulting from this application.
- iv. In consideration for Ashburton (Jersey) Limited or Jersey General Nominees Limited (for Ashburton Investments SICAV only) acting from time to time upon facsimile, email or other electronic requests from me/us, I/we hereby agree fully to indemnify and hold Ashburton (Jersey) Limited or Jersey General Nominees Limited harmless in respect of all claims, actions, damages, proceedings, costs and expenses suffered or incurred by Ashburton (Jersey) Limited or Jersey General Nominees Limited as a result, direct or otherwise, of Ashburton (Jersey) Limited or Jersey General Nominees Limited acting upon such request. I/We understand that proceeds will only be paid away to a bank account in the name of the "Investor" on receipt by Ashburton (Jersey) Limited or Jersey General Nominees Limited of an original signed authority or JTC Fund Solutions (Jersey) Limited as administrators.
- v. I/We confirm that any funds transferred do not or will not represent the proceeds of, or derive from, any activity, which would be considered illegal under the Anti Money Laundering and Proceeds of Crime legislation applicable in Jersey and my/our country(ies) of residence.
- vi. **EU Member States resident's declaration of income for the Ashburton Investments SICAV.** I/we hereby agree to the exchange of information with the tax authorities of my country of residence. The information that will be disclosed include: account number, full name, residential address, date of birth, place of birth, tax identification number (TIN), amount of income and share class.
- vii. **UK residents exchange of information.** I/we hereby agree to the exchange of information with the UK tax authorities (HMRC) under intergovernmental agreements. The information that will be disclosed includes: account number, full name, residential address, date of birth, place of birth, National Insurance number, the total value of the investment as at the end of the calendar year and the total value of redemption payments made to the investor during the calendar year.
- viii. I/we consent to the processing of my/our personal details and other information in accordance with the data protection notice which is set out in the Prospectus of Ashburton Investments SICAV or Ashburton Money Market Funds Limited, as appropriate. Ashburton's privacy policy can be found at www.ashburtoninvestments.com/int/privacy.
- ix. I/We can confirm that I/we have discussed and agreed to the Adviser Fee shown in Section 14 and will authorise Ashburton through JTC Funds Solutions (Jersey) Limited to make payments to my/our adviser until further notice.
- x. I/We agree to provide to Ashburton (Jersey) Limited and JTC Fund Solutions (Jersey) Limited and/or Jersey General Nominees Limited any information and personal data it may reasonably request in order to comply with any domestic or foreign law or regulation in relation to investments in Ashburton Investments SICAV or Ashburton Money Market Funds Limited, as appropriate.



13. Signatures and declaration (continued)

- xi. I/We agree that any information provided to Ashburton (Jersey) Limited and JTC Fund Solutions (Jersey) Limited and/or Jersey General Nominees Limited may be passed to the competent authorities as may be requested by applicable law or the relevant authority. I/We undertake not to oppose any privacy or secrecy rule to such request and understand that any failure to comply with such information request could lead Ashburton Investments SICAV or Ashburton Money Market Funds Limited to compulsory redeem the shareholding held on my/our behalf in Ashburton Investments SICAV or Ashburton Money Market Funds Limited, as appropriate.
- xii. I/We agree to confirm the accuracy of given information periodically to ensure that Ashburton Investments SICAV, or Ashburton Money Market Funds Limited, as appropriate, complies with its legal obligations.
- xiii. I/We agree to promptly inform Ashburton (Jersey) Limited and/or Jersey General Nominees Limited if any of the representations or disclosures provided in order for Ashburton (Jersey) Limited and/or Jersey General Nominees Limited to comply with its legal obligations ceases to be accurate and, in such event, provide the Ashburton (Jersey) Limited and/or Jersey General Nominees Limited with such information as Ashburton (Jersey) Limited and JTC Fund Solutions (Jersey) Limited and/or Jersey General Nominees Limited may request.

If filling out this form electronically, please ensure you print a hard copy, then sign and return to the address listed on the front of this form.

(1) Signature			
Print Name		Date	
(2) Signature			
Print Name		Date	
(3) Signature			
Print Name		Date	
(4) Signature			
Print Name		Date	

Applications signed under a Power of Attorney will not be accepted. Please note that until such time as ALL satisfactory requisite documentation has been received and accepted, it will not be possible for applications to be dealt. No bank interest will be paid on monies held pending investment.

14. Intermediary terms of business/adviser fee arrangements

Name of intermediary firm			
Contact Name			
Address			
Town		Country	
Postcode			
Intermediary code			
First funds expected: amount		Due date	



14. Intermediary terms of business/adviser fee arrangements (continued)

Total initial charge £/€//\$ or %

Adviser fee £/€//\$ or %

Name of Ashburton
representative

15. Your financial adviser's charges (D class shares only)

Please **only** complete the section below if you want your Financial Adviser to be paid from your investment. Otherwise, do not complete this section.

All Financial Adviser charges will be deducted by selling shares of your investment. The Financial Adviser charge will be paid in the currency of your investment.

Frequency

Please detail below the frequency at which deductions are to be paid.

☐ Quarterly

☐ 6 Monthly

☐ Yearly

Amount

If you wish to pay your Financial Adviser a set monetary amount per year (on pro rata basis), at the frequency indicated above, please detail the amount below.

The monetary amount I wish to pay my Financial Adviser each year is US\$/£/€

(delete as applicable)

OR

Percentage

If you wish to pay your Financial Adviser a set percentage of the value of your investment, at the frequency indicated above, please detail the percentage below.

The percentage of my investment I wish to pay my Financial Adviser each year is

%

Payments will only be made to the Financial Adviser once the monetary amount is in excess of GBP250 or currency equivalent.



Electronic Transfer Instructions for Fund Investments

Reference to the client name must be recorded to identify the funds transferred. Please quote the client number if available.

Ashburton Investments SICAV

Sterling

Royal Bank of Scotland International Ltd.

Sort code: 16-10-28
Account name: Ashburton (Jersey) Limited re:
Ashburton Investments SICAV
Account number: 50928123
SWIFT: RBOSJESX
Reference:

Euro

Royal Bank of Scotland Plc, London

SWIFT: RBOSGB2L
Account name: Royal Bank of Scotland
International Limited
SWIFT: RBOSJESX
Destination:
Account Name: Ashburton (Jersey) Limited re:
Ashburton Investments SICAV
IBAN No: GB13RBOS16102850928123
Reference:

US dollar

Wells Fargo Bank NA, New York (formerly Wachovia Bank NA)

SWIFT: PNBPU33NNYC
Account name: Royal Bank of Scotland
International Limited
SWIFT: RBOSJESX
Destination:
Account Name: Ashburton (Jersey) Limited re:
Ashburton Investments SICAV
Account number: 50928123
Reference:

Ashburton Money Market Funds Limited

US dollar

Wells Fargo Bank NA, New York (formerly Wachovia Bank NA)

SWIFT: PNBPU33NNYC
Account name: Royal Bank of Scotland
International Limited
SWIFT: RBOSJESX
Destination:
Account name: Ashburton Money Market
Funds Limited
Account number: 50557621
Reference:

Please return to JTC as Administrator of the funds, as below:

Ashburton Investments
PO Box 13422, DUNMOW, CM7 0PY, United Kingdom. Tel: 0800 735 3899 (UK domestic) and + 44 203 832 3899 (International).
Email: ashburton.funddealing@jtcgroup.com (for all fund trades) or ashburton.fundenquiries@jtcgroup.com (for all fund enquiries).
www.ashburtoninvestments.com

Issued by Ashburton (Jersey) Limited which has its registered office at IFC1, The Esplanade, St Helier, Jersey, JE4 8SJ, Channel Islands. Regulated by the Jersey Financial Services Commission. Ashburton Investments is a registered trading name of Ashburton (Jersey) Limited. The value of investments, and the income from them, can go down as well as up and you may not recover the amount of your original investment. Past performance is not necessarily a guide to future performance. Where investment in a Fund involves exposure to currency other than that in which the Fund is denominated, changes in exchange rates may cause the value of the Fund to go up or down. For more information on the products and services detailed herein, please visit our website: www.ashburtoninvestments.com for the most up to date prices and performance information, prospectus, key information documents, financial reports and statements.