

# Application form Jersey and Luxembourg regulated funds

Please use this application form to subscribe to any of the following funds:  
 Ashburton Investments SICAV (“**SICAV**”) via Jersey General Nominees Limited  
 Ashburton Money Market Funds Limited (“**Money Market**”)  
 Ashburton Replica Portfolio Limited (“**Replica**”)

**Please return to:**

Ashburton (Jersey) Limited  
 PO Box 239  
 IFC1  
 The Esplanade  
 St Helier  
 Jersey  
 JE4 8SJ  
 Channel Islands

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

## 01. 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.

Ashburton Investments SICAV	Investment	or	Accumulating/ Distributing
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	£		
<b>Ashburton Money Market Funds Limited (“Money Market”)</b>			
Dollar Money Market Feeder Fund	US\$		
<b>Ashburton Replica Portfolio Limited (“Replica”)</b>			
Dollar Asset Management Fund	US\$		
Euro Asset Management Fund	€		
Sterling Asset Management Fund	£		Acc <input type="checkbox"/> Dis <input type="checkbox"/>

## 02. 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	Sort / Swift code
<input type="text"/>	<input type="text"/>
Address	Postcode
<input type="text"/>	<input type="text"/>
Account name	
<input type="text"/>	
Account no.	Currency
<input type="text"/>	<input type="text"/>
IBAN no.	
<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.

## 03. Method of payment

Your subscription can be paid by electronic bank transfer, please refer to page 13 and 14 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.

## 04. Application details

### Trustee details

Trustee name

Place of incorporation of Trustee

Date of incorporation of Trustee

### Trust account applicant

Full name and title of account

Account designation (if required)

## 05. Contact details for the primary contact for the Trust

### Contact's full name

-----		
Telephone number (work)		Mobile number
-----	-----	-----
Email address		Fax number
-----	-----	-----
Trustee's registered office address		
-----		
-----		
Town	Country	Postcode
-----	-----	-----

## 06. 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.

## 07. 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.**

I would like to receive investment updates, Fund and Portfolio news, market insights/articles and Fund and Portfolio commentaries, events and company news.

## 08. Tax classification

TIN

\_\_\_\_\_

GIIN

\_\_\_\_\_

Sponsored Financial Institution - FI

Yes

No

Sponsored legal name (if applicable)

\_\_\_\_\_

### Financial Institutions - FI

Participating Foreign FI

Sponsored FI

Registered Deemed Compliant FI

FI in a Model 1 IGA Country

FI in a Model 2 IGA Country

Offshore Islands FI

Other: \_\_\_\_\_

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

Non Participating Foreign FI

GIIN has been applied for and is pending

Exempt Beneficial Owner

Non reporting IGA FFI

Other: \_\_\_\_\_

### Non-Financial Foreign Entities - NFFE

Active

Passive\*

Excepted

Other: \_\_\_\_\_

\* All controlling parties must be complete section 10.

**Identification**

Date of establishment/settlement of the Trust

\_\_\_\_\_

Country of establishment/settlement of the Trust

\_\_\_\_\_

**Relationship information**

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

\_\_\_\_\_

\_\_\_\_\_

What is the purpose of the Trust?

\_\_\_\_\_

\_\_\_\_\_

**Source of funds** - Describe the activities which have generated the Trust's funds e.g. Settlor's 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

\_\_\_\_\_

**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.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Originating country/countries of wealth

\_\_\_\_\_

Does the Trust or anyone relating to the trust have an existing relationship with Ashburton? If so provide details. (eg. Client number: C\_XXXX)

\_\_\_\_\_

\_\_\_\_\_

09. Anti Money Laundering (continued)

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

Are commission/consultancy fees a source of wealth?

Yes  No

Is the Trust 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)

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

## 10. Due diligence details of individuals connected to the Trust

### Person 1

Trustee (if individual)    Settlor    Vested Beneficiary    Protector

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

\_\_\_\_\_

Place of employment

\_\_\_\_\_

Position held

\_\_\_\_\_

Principal residential address

\_\_\_\_\_

Town

\_\_\_\_\_

Country

\_\_\_\_\_

Postcode

\_\_\_\_\_

Date of birth

| D | D | M | M | Y | Y | Y | Y |

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

**US Citizen**    Yes

### Person 2

Trustee (if individual)    Settlor    Vested Beneficiary    Protector

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

\_\_\_\_\_

Place of employment

\_\_\_\_\_

Position held

\_\_\_\_\_

Principal residential address

\_\_\_\_\_

Town

\_\_\_\_\_

Country

\_\_\_\_\_

Postcode

\_\_\_\_\_

Date of birth

| D | D | M | M | Y | Y | Y | Y |

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 2 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

**US Citizen**    Yes

## 10. Details of the owner/s and controlling person/s (continued)

### Person 3

Trustee (if individual)    Settlor    Vested Beneficiary    Protector

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

\_\_\_\_\_

Place of employment

\_\_\_\_\_

Position held

\_\_\_\_\_

Principal residential address

\_\_\_\_\_

Town

\_\_\_\_\_

Country

\_\_\_\_\_

Postcode

\_\_\_\_\_

Date of birth

| D | D | M | M | Y | Y | Y | Y |

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 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

**US Citizen**    Yes

### Person 4

Trustee (if individual)    Settlor    Vested Beneficiary    Protector

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

\_\_\_\_\_

Place of employment

\_\_\_\_\_

Position held

\_\_\_\_\_

Principal residential address

\_\_\_\_\_

Town

\_\_\_\_\_

Country

\_\_\_\_\_

Postcode

\_\_\_\_\_

Date of birth

| D | D | M | M | Y | Y | Y | Y |

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 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

**US Citizen**    Yes



## 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.

A list of equivalent jurisdictions is found under Appendix B in the AML/CFT Handbook on the JFSC website and can be viewed at the following link: <http://www.jerseyfsc.org/anti-money-laundering/regulated-financial-services-businesses/amlcft-handbook/> and as amended from time to time.

### Due diligence requirements for a Trust, with a regulated Trustee, based in a Jersey equivalent jurisdiction;

- Completion of the application form
- Certified copy of an extract of the Trust Deed (including the name of the Trust, date and place of settlement, names of Trustee(s)/Settlor(s)/Protector(s)/Beneficiary(ies), type of trust and signatures of Trustees).
- Certified copy of Deeds of Retirement and Appointment (if applicable)
- Structure chart (if applicable)
- Trustee resolution (if applicable)

For the Settlor(s)/Protector(s)/Beneficiary(ies) with a vested interest in, or who have received benefit from the Trust;

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

For the regulated Trustee;

- Certified copy of current authorised signatory list dated in the last 3 months

### Due diligence requirements for a non-regulated Trustee or Trust based in a non-Jersey equivalent jurisdiction;

- Completion of the application form
- Certified copy of an extract of the Trust Deed (including the name of the Trust, date and place of settlement, names of Trustee(s)/Settlor(s)/Protector(s)/Beneficiary(ies), type of trust and signatures of Trustees).
- Certified copy of Deeds of Retirement and Appointment (if applicable)
- Structure chart (if applicable)
- Trustee resolution (if applicable)

For the Settlor(s)/Protector(s)/Beneficiary(ies) and where applicable personal Trustee(s) with a vested interest in, or who have received benefit from the Trust;

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

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)

For further guidance on certification please refer to the Ashburton Guide to Certification.

## 12. Signing authority

We hereby authorise and instruct the Manager 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 declarations

- (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 Replica Portfolio Limited, 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, Ashburton Replica Portfolio Limited 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) 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.
- (iv) 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.
- (v) **EU Member States resident's declaration of income for the Ashburton Investments SICAV (for personal Trustees only).**  
I 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.
- (vi) **UK residents exchange of information (for personal Trustees only).**  
I 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.
- (vii) By completing this application form I/we confirm that I/we have notified and obtained the consent of and all persons detailed herein and in accompanying documentation to the processing of their personal details and other information in accordance with the data protection notice which is set out in the Prospectus of Ashburton Investments SICAV, Ashburton Replica Portfolio Limited or Ashburton Money Market Funds Limited, as appropriate.
- (viii) I/We can confirm that I/we have discussed and agreed to the Adviser Fee shown in Section 14 and will authorise Ashburton to make payments to my/our adviser until further notice.
- (ix) I/We agree to provide to Ashburton (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, Ashburton Replica Portfolio Limited or Ashburton Money Market Funds Limited, as appropriate.
- (x) I/We agree that any information provided to Ashburton (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, Ashburton Replica Portfolio Limited or Ashburton Money Market Funds Limited to compulsorily redeem the shareholding held on my/our behalf in Ashburton Investments SICAV, Ashburton Replica Portfolio Limited or Ashburton Money Market Funds Limited, as appropriate.
- (xi) I/We agree to confirm the accuracy of given information periodically to ensure that Ashburton Investments SICAV, Ashburton Replica Portfolio Limited or Ashburton Money Market Funds Limited, as appropriate, complies with its legal obligations.
- (xii) I/We agree to promptly inform Ashburton (Jersey) Limited and/or Jersey General Nominees Limited if any of the representations, disclosures or information 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/or Jersey General Nominees Limited may request.

### 13. Signatures and declarations (continued)

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

(1) Signature

\_\_\_\_\_  
Print name Date  
\_\_\_\_\_  
| D | D | M | M | Y | Y | Y | Y |

(2) Signature

\_\_\_\_\_  
Print name Date  
\_\_\_\_\_  
| D | D | M | M | Y | Y | Y | Y |

(3) Signature

\_\_\_\_\_  
Print name Date  
\_\_\_\_\_  
| D | D | M | M | Y | Y | Y | Y |

(4) Signature

\_\_\_\_\_  
Print name Date  
\_\_\_\_\_  
| D | D | M | M | Y | Y | Y | Y |

In order to process our client's applications in an efficient and timely manner, we will not be able to proceed with applications until all mandatory requisite documentation is received and accepted. Monies held pending will not be invested.

Applications signed under a Power of Attorney cannot be accepted.

### 14. Intermediary terms of business/adviser fee arrangements

Name of intermediary firm	Contact name
_____	_____
Address	
_____	
Intermediary code	
_____	
First funds expected: amount	Due date
_____	_____
Total initial charge £/€//\$	Adviser fee £/€//\$
_____	_____
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  (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 Advisor once the monetary amount is in excess of £250 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 Limited

Sort code:  
16-10-28

Account name:  
Ashburton (Jersey) Limited re:  
Ashburton Investments SICAV

Account no:  
50928123

SWIFT:  
RBOSJESX

### Euro

#### Correspondent bank details

Royal Bank of Scotland Plc, London

SWIFT:  
RBOSGB2L

#### Primary bank details

Bank name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton (Jersey) Limited re:  
Ashburton Investments SICAV

IBAN no:  
GB13 RBOS 161028 50928123

### US dollar

#### Correspondent bank details

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

SWIFT:  
PNBPUS3NNYC

#### Primary bank details

Bank name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton (Jersey) Limited re:  
Ashburton Investments SICAV

Account no:  
50928123

## Ashburton Money Market Funds Limited

### Euro

Royal Bank of Scotland Plc, London

SWIFT:  
RBOSGB2L

Account name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton Money Market Funds Limited

IBAN no:  
GB54RBOS16102850557621

### US dollar

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

SWIFT:  
PNBPUS3NNYC

Account name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton Money Market Funds Limited

Account no:  
50557621

## Ashburton Replica Portfolio Limited

### Sterling

Royal Bank of Scotland International Limited

Sort code:  
16-10-28

Account name:  
Ashburton Replica Portfolio Limited

Account no:  
50557648

SWIFT:  
RBOSJESX

### Euro

Royal Bank of Scotland Plc, London

SWIFT:  
RBOSGB2L

Account name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton Replica Portfolio Limited

IBAN no:  
GB04RBOS16102850557648

### US dollar

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

SWIFT:  
PNBPUS3NNYC

Account name:  
Royal Bank of Scotland International Limited

SWIFT destination:  
RBOSJESX

Account name:  
Ashburton Replica Portfolio Limited

Account no:  
50557648