

Unit Trust and OEIC Fund Application Form

Individual Investors

MARCH 2020

You should use this form if you wish to invest in an AXA Fund(s) for regular, lump sum and additional investments. Further information is contained in the Terms and Conditions, Key Investor Information Document (KIID), Supplementary Information Document (SID) and Prospectus. Please complete this form in BLOCK CAPITALS and black ink and return it to AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT. Cheques should be made payable to 'AXA Investment Managers UK Limited'. Please read the notes and important information which are contained on the back page.

U.S. persons may not invest in AXA Investment Managers' Funds because the Funds are not registered for sale in the U.S.

Please tick here if this application is a confirmation of a deal made over the telephone.

1. Personal details

First account holder

Title	M <input type="checkbox"/>	F <input type="checkbox"/>						
Surname								
Forenames								
Designation ¹								
Address ²								
	Postcode ²							
Daytime telephone no.								
Evening telephone no.								
Email								
Date of birth	D	D	M	M	Y	Y	Y	Y
Account designation (if applicable)								
Do you already have an OEIC, Unit Trust and/or ISA with us?	Yes <input type="checkbox"/>	No <input type="checkbox"/>						
If so, please quote your account number								

Attorney details for first account holder (if applicable):

Title		
Surname		
Forenames (in full)		
Address		
Postcode	Country	
Phone Number	Email Address	

Second account holder

Title	M <input type="checkbox"/>	F <input type="checkbox"/>						
Surname								
Forenames								
Designation ¹								
Address ²								
	Postcode ²							
Daytime telephone no.								
Evening telephone no.								
Email								
Date of birth	D	D	M	M	Y	Y	Y	Y

Attorney details for second account holder (if applicable):

Title		
Surname		
Forenames (in full)		
Address		
Postcode	Country	
Phone Number	Email Address	

If there are more than two investors, please complete their details on a separate piece of paper and attach to this application form.

Financial Adviser Details

Financial Conduct Authority Individual Reference Number

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Financial Conduct Authority Firm Reference Number

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Please tick if cancellation rights do not apply

Please tick if advice has been given. We will assume advice has not been given if left unticked

Financial Adviser stamp

Unit Trust and OEIC Fund Application Form

Individual Investors

2. Investment details³

Please select the Fund(s) and the unit and/or share class you wish to invest in and write your investment amount in the appropriate box, depending on whether you wish to invest a lump sum or by regular savings. Information on the Funds and unit and/or share classes is contained within each KIID and in the SID.

	LUMP SUM		REGULAR	LUMP SUM	
	R CLASS			Z CLASS	
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly	ACC Min £100,000	INCOME Min £100,000
AXA Framlington Authorised Unit Trusts					
AXA Framlington American Growth Fund	£	£	£	£	£
AXA Framlington Biotech Fund	£	£	£	£	
AXA Framlington Emerging Markets Fund	£	£	£	£	£
AXA Framlington European Fund	£	£	£	£	
AXA Framlington FinTech Fund	£	£	£	£	
AXA Framlington Global Technology Fund	£	£	£	£	£
AXA Framlington Global Thematics Fund	£	£	£	£	
AXA Framlington Health Fund	£	£	£	£	
AXA Framlington Japan Fund	£	£	£	£	
AXA Framlington Managed Balanced Fund	£	£	£	£	£
AXA Framlington Managed Income Fund	Gross	£	£	£	£
AXA Framlington Monthly Income Fund	£	£	£	£	£
AXA Framlington UK Equity Income Fund	£	£	£	£	
AXA Framlington UK Growth Fund	£	£	£	£	£
AXA Framlington UK Mid Cap Fund	£	£	£	£	£
AXA Framlington UK Select Opportunities Fund	£	£	£	Refer to box on next page	Refer to box on next page
AXA Framlington UK Smaller Companies Fund	£	£	£	£	
AXA Rosenberg Global Investment Company ICVC					
AXA Rosenberg American Fund	£		£	£	
AXA Rosenberg Asia Pacific ex Japan Fund	£		£	£	
AXA Rosenberg Global Fund	£		£	£	
AXA Rosenberg Japan Fund	£		£	£	
AXA Distribution Investment ICVC					
AXA Defensive Distribution Fund	Gross	£	£	£	£
AXA Distribution Fund		£	£	£	£
AXA Ethical Distribution Fund		£	£	£	£
AXA Global Distribution Fund		£	£	£	£
AXA Fixed Interest Investment ICVC					
AXA Global High Income Fund	Gross	£	£	£	£
AXA Sterling Corporate Bond Fund	Gross	£	£	£	£
AXA Sterling Credit Short Duration Bond Fund	Gross	£	£	£	£
AXA Sterling Index Linked Bond Fund	Gross	£		£	
AXA Sterling Strategic Bond Fund	Gross	£	£	£	£
AXA Global Short Duration Bond Fund				£	£
AXA Unit Trust Feeder Fund					
AXA Pan European High Yield Bond Fund	Gross	£	£	£	£

2. Investment details³ (continued)

	LUMP SUM		REGULAR	LUMP SUM	
	Z CLASS			ZI CLASS	
	ACC Min £1 million	INCOME Min £1 million		ACC Min £30 million	INCOME Min £30 million
AXA Fixed Interest Investment ICVC					
AXA US Short Duration High Yield Fund	Gross	£	£		£

	LUMP SUM	
	Z CLASS	
	ACC Min £2 million	INCOME Min £2 million
AXA Fixed Interest Investment ICVC		
AXA Sterling Buy and Maintain Credit Fund	Gross	£

	LUMP SUM		REGULAR	LUMP SUM	
	Z CLASS			ZI CLASS	
	ACC Min £100 million	INCOME Min £100 million		ACC Min £100,000	INCOME Min £100,000
AXA Framlington Authorised Unit Trusts					
AXA Framlington UK Select Opportunities Fund		£	£		£

3. Income payments⁴

Name of bank/building society										Branch									
Address																			
										Postcode									
Building society ref										Account number									
Account holder's name										Sort code									
										-									

Please note we do not make third party payments. Please ensure you are the named account holder.

4. Withdrawal (Redemption) payments

Bank details to pay withdrawal proceeds.

All future withdrawal proceeds will be sent to the below bank details once appropriately verified. Please note that only certain funds pay out income. The bank account must be held in the name of, or on behalf of, the investing organisation. Name and full postal address of your bank.

To: The Manager Bank

Bank address									
Postcode									
Bank account number									
Branch sort code									
Name(s) of account holder(s)									

5. Data protection

i By submitting this application form (and in any subsequent dealings, which may include telephone calls) AXA Investment Managers UK Limited will hold and use your personal data. We will only hold and use your information where permitted by and in accordance with relevant laws and regulations. For further details in how we hold and use your personal data, please see our full Privacy Notice which sets out:

- The types of information we collect about you
- How we collect and use the information
- Who we might share the information with and where such information may be transferred
- How long we will hold the information for
- The steps we will take to make sure it stays private and secure
- Your rights in respect of your information.

The Privacy Notice is available to view at <https://retail.axa-im.co.uk/privacy-policy>. If you would like to receive a paper copy of the Privacy Notice, please call us on 0345 777 5511 or write to us at AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.

You are responsible for making sure you provide us with accurate and up-to-date information. Please inform us when your personal information changes.

If you provide information for or about another person in the context of your dealing with AXA Investment Managers UK Limited, you will need to tell them how to find the Privacy Notice and make sure they agree to us using their information for the purposes set out in it.

6. Declaration and authority (In the case of joint holders, all must sign)

- I/we apply to buy shares as shown in Section 2 based on the price at the next valuation point after receipt of my/our instructions.
- I/we declare that I am/we are over 18 years of age.
- I/we have read the Terms and Conditions, the latest KIID and the SID.
- I/we confirm that I/we cannot be classified as a U.S. person(s) as defined in the Prospectus.
- I/we have read the Terms and Conditions which explain that AXA Investment Managers UK Limited may use the delivery versus payment exemption and understand that my/our money will not be protected from the insolvency of AXA Investment Managers UK Limited during the periods covered by the exemption. I/we agree, on a continuing basis, to AXA Investment Managers UK Limited making use of the delivery versus payment exemption as described in the Terms and Conditions.

First

Signature	Date
Attorney's signature (if applicable)	Date

Second

Signature	Date
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Attorney's signature (if applicable)

Date

Third

Signature	Date
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Attorney's signature (if applicable)

Date

Fourth

Signature	Date
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Attorney's signature (if applicable)

Date

* We require the account holder to sign in conjunction with the attorney, unless there is a physical or mental incapacity.

7. Important information/Notes

- 1 If this application is made on behalf of a child, the holding must be registered in the name of an adult but designated on behalf of the child. Please put the child's initials in the designation box.
- 2 Please state your permanent residential address. You must also include your postcode.
- 3 If you are making a **LUMP SUM INVESTMENT** you must send us a cheque. Please make your cheque payable to **AXA Investment Managers UK Limited**. The cheque should clearly show that it is drawn on the account in the name of the person making this application. If you send a building society cheque, please ensure the cheque shows your name as the account holder. If you have chosen to invest in **INCOME SHARES** please complete the bank details in section 4. If you have chosen to make **REGULAR INVESTMENTS** please complete the Direct Debit instruction attached. Direct Debits will be collected on the first of each month, or the next working day.
- 4 Do not complete this section unless you are a lump sum investor and want income to be paid to you. You may have income paid directly into your bank or building society account. Alternatively, depending on the unit and/or share class of the fund(s) in which you have invested, income will be automatically reinvested for you. If you want to opt for income to be paid directly into your bank or building society account, simply complete this slip in full and return it to: **AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.**
5. If you have appointed an attorney to act on your behalf, we require you to sign in conjunction with the attorney, unless there is a physical or mental incapacity. You also need to enclose a certified copy power of attorney confirming the appointment of your attorney, if you have not already registered one with us in respect of this account. Further, before we accept an application, we may make electronic checks on the identity and address of your appointed attorney and may also ask for documentary evidence for verification purposes.

MONEY LAUNDERING PREVENTION: To comply with money laundering prevention regulations, if you are planning to invest in regular instalments by Direct Debit: **WE REQUIRE YOUR FIRST PAYMENT TO BE MADE BY CHEQUE.**

Future Direct Debit Payments must originate from the same account as the original cheque. Payments which include cheques must be held in the name of the investor and originate from a recognised UK or EU Bank or Building Society. AXA Investment Managers UK Limited reserves the right to return applications and/or payment howsoever composed if they do not satisfy these requirements/or which appear to be made from another source.

A copy of this application form, Terms and Conditions, KIID, SID and the most up-to-date copies of the Report and Accounts and the current Prospectus for all Funds within the AXA IM range are available free of charge from the office of the administrator at the address below.

Please send your completed application form to:

AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.

Please remember that there may be a delay in implementing your instructions if you do not send them to the correct address.

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AXA is a worldwide leader in financial protection and wealth management. AXA Investment Managers UK Limited (AXA IM UK) is the Authorised Corporate Director, Authorised Fund Manager and Investment Manager for a range of Open Ended Investment Companies (OEICs) and Authorised Unit Trusts. AXA IM UK is registered in England and Wales No. 01431068. Registered office: 155 Bishopsgate, London, EC2M 3XJ. AXA IM UK is authorised and regulated by the Financial Conduct Authority (No. 119368). Administration office: PO Box 10908, Chelmsford, CM99 2UT. Tel: 0345 777 5511 Fax: 0344 620 0151. As part of our commitment to quality service, telephone calls may be recorded.

Design & Production: Internal Design Agency (IDA) | August 2020 | 21279a

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