

# Stocks and Shares ISA Fund Application Form

Tax Year 2020/2021

MARCH 2020  
ISA

You should use this form if you wish to invest in an AXA stocks and shares Individual Savings Account (ISA) for the tax year 2020/21 for regular and lump sum investments. You can only apply for a stocks and shares ISA if you are aged 18 or over and you are a UK resident for tax purposes. The maximum investment for a stocks and shares ISA is £20,000 per tax year. 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.

## 1. About the investor in whose name the ISA will be held

Title	Surname	M <input type="checkbox"/>	F <input type="checkbox"/>
Forenames			
Address <sup>1</sup>			
Postcode <sup>1</sup>			
Daytime telephone no.		Evening telephone no.	
Email			
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do you have a National Insurance number?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, you must quote it <sup>2</sup>
Do you already have an OEIC, Unit Trust or ISA with us?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If so, please quote your account number

<b>Attorney details (if applicable)</b>	
Title	
Surname	Forenames (in full)
Address	
Postcode	Country
Phone Number	Email Address

<b>Financial Adviser Details</b>
Financial Conduct Authority Individual Reference Number <input type="text"/>
Financial Conduct Authority Firm Reference Number <input type="text"/>
Please tick if cancellation rights do not apply <input type="checkbox"/>
Please tick if advice has been given. We will assume advice has not been given if left unticked <input type="checkbox"/>
Financial Adviser stamp:



Investment  
Managers

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### 2. Investment details<sup>3</sup>

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 and the annual ISA limits is contained within each Fund's KIID and in the SID.

	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Framlington Authorised Unit Trusts</b>			
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 Thematics Fund	£	£	£
AXA Framlington Global Technology Fund	£	£	£
AXA Framlington Health Fund	£	£	£
AXA Framlington Japan Fund	£	£	£
AXA Framlington Managed Balanced Fund	£	£	£
AXA Framlington Managed Income Fund	£	£	£
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	£	£	£
AXA Framlington UK Smaller Companies Fund	£	£	£

	LUMP SUM		REGULAR
	ACC Min £1,000	INCOME Min £1,000	ACC Min £50 monthly
<b>AXA Rosenberg Global Investment Company ICVC</b>			
AXA Rosenberg American Fund	£		£
AXA Rosenberg Asia Pacific ex Japan Fund	£		£
AXA Rosenberg Global Fund	£		£
AXA Rosenberg Japan Fund	£		£
<b>AXA Distribution Investment ICVC</b>			
AXA Distribution Fund	£	£	£
AXA Ethical Distribution Fund	£	£	£
AXA Global Distribution Fund	£	£	£
<b>AXA Fixed Interest Investment ICVC</b>			
AXA Global High Income Fund	£	£	£
AXA Sterling Corporate Bond Fund	£	£	£
AXA Sterling Index Linked Bond Fund	£		£
AXA Sterling Strategic Bond Fund	£	£	£
AXA Sterling Credit Short Duration Bond Fund	£	£	£
<b>AXA Unit Trust Feeder Fund</b>			
AXA Pan European High Yield Bond Fund	£	£	£
<b>AXA Distribution Investment ICVC</b>			
AXA Defensive Distribution Fund	£	£	£

### 3. Income payments<sup>4</sup>

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

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.



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## 7. Important information/Notes

- 1 Please state your permanent residential address. You must also include your postcode.
- 2 You should be able to find your NI number on a payslip, P45 or P60 form, a letter from the HM Revenue & Customs, a letter from the DWP, or a pension order book. Otherwise your employer or tax office may be able to help you. Failure to provide your National Insurance number within 30 days will result in your plan being made VOID with any tax benefits being returned to HM Revenue & Customs.
- 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 3. 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.

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 also acts as an ISA plan manager for the AXA IM range of 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.

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[www.axa-im.co.uk](http://www.axa-im.co.uk)

