

# AVIVA INVESTORS COLLECTIVE INVESTMENT FUNDS DIRECT OFFER APPLICATION FORM FOR INDIVIDUALS



- Please use this form to invest in the Aviva Investors range of funds. This form cannot be used for the Aviva Investors Investment ISA. Please contact us for ISA forms.
- Please answer all questions in CAPITAL LETTERS and tick boxes where appropriate.
- Once you have completed this application form, please return it together with your payment and/or completed Direct Debit Instruction to Aviva Investors UK Fund Services Limited, PO Box 10410, Chelmsford, CM99 2AY.
- If you are investing a lump sum please make your cheque payable to Aviva Investors UK Fund Services Limited.
- If you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn. For example, the cheque should be made payable as follows: Aviva Investors UK Fund Services Limited i.r.o. John Smith (include investor's full name).
- Tax regulations require us to collect certain information about each customer's tax status, and in certain circumstances we may be obliged to share this information with HM Revenue & Customs. If you are uncertain of your tax residency please refer to your legal or tax adviser.
- A copy of this completed application form is available on request.
- Please note there are other funds available from Aviva Investors. Please contact us for details about these funds.

## 1. Personal details

**Note:** While all the named holders will have equal ownership of the investment, we will only issue correspondence to the first named holder.

<b>Title</b>	<input type="text" value="Mr / Mrs / Miss / Ms"/>	<b>Forename(s)</b>	<input type="text"/>	<b>Surname</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>				<input type="text" value="Postcode"/>
<b>Date of birth</b>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>				
<b>Country of tax residency</b>	<input type="text"/>		<b>National Insurance number/ Tax reference number</b>	<input type="text"/>	
If you are not resident in any country for tax purposes, please tick this box <input type="checkbox"/>					
<b>Daytime telephone number</b>	<input type="text"/>		<b>Email address</b>	<input type="text"/>	

  

<b>Title</b>	<input type="text" value="Mr / Mrs / Miss / Ms"/>	<b>Forename(s)</b>	<input type="text"/>	<b>Surname</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>				<input type="text" value="Postcode"/>
<b>Date of birth</b>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>				
<b>Country of tax residency</b>	<input type="text"/>		<b>National Insurance number/ Tax reference number</b>	<input type="text"/>	
If you are not resident in any country for tax purposes, please tick this box <input type="checkbox"/>					
<b>Daytime telephone number</b>	<input type="text"/>		<b>Email address</b>	<input type="text"/>	

  

<b>Title</b>	<input type="text" value="Mr / Mrs / Miss / Ms"/>	<b>Forename(s)</b>	<input type="text"/>	<b>Surname</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>				<input type="text" value="Postcode"/>
<b>Date of birth</b>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>				
<b>Country of tax residency</b>	<input type="text"/>		<b>National Insurance number/ Tax reference number</b>	<input type="text"/>	
If you are not resident in any country for tax purposes, please tick this box <input type="checkbox"/>					
<b>Daytime telephone number</b>	<input type="text"/>		<b>Email address</b>	<input type="text"/>	

  

<b>Title</b>	<input type="text" value="Mr / Mrs / Miss / Ms"/>	<b>Forename(s)</b>	<input type="text"/>	<b>Surname</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>				<input type="text" value="Postcode"/>
<b>Date of birth</b>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>				
<b>Country of tax residency</b>	<input type="text"/>		<b>National Insurance number/ Tax reference number</b>	<input type="text"/>	
If you are not resident in any country for tax purposes, please tick this box <input type="checkbox"/>					
<b>Daytime telephone number</b>	<input type="text"/>		<b>Email address</b>	<input type="text"/>	

## 2. Beneficial Owner details

### Investing on behalf of someone else

A beneficial owner is normally an individual who ultimately owns or controls the applicant or on whose behalf the investment is being conducted.

By investing through this application form you will own the beneficial title in all investments and we will be entitled to treat you as the beneficial owner in all of our dealings with you. If this is not correct, please fill in the beneficial owner details below.

I/we confirm that I/we are the only beneficial owner(s) of this investment? YES ☐ NO ☐

If NO please provide the following information on behalf of the beneficial owner(s):

#### Beneficial owner 1

Surname	<input type="text" value="Mr / Mrs / Miss / Ms"/>	Forename(s)	<input type="text"/>
Address	<input type="text"/>		
	<input type="text" value="Postcode"/>		
Date of birth	<input type="text" value="D D M M C C Y Y"/>		
Country of tax residency	<input type="text"/>	National Insurance number/ Tax reference number	<input type="text"/>

If you are not resident in any country for tax purposes, please tick this box ☐

#### Beneficial owner 2

Surname	<input type="text" value="Mr / Mrs / Miss / Ms"/>	Forename(s)	<input type="text"/>
Address	<input type="text"/>		
	<input type="text" value="Postcode"/>		
Date of birth	<input type="text" value="D D M M C C Y Y"/>		
Country of tax residency	<input type="text"/>	National Insurance number/ Tax reference number	<input type="text"/>

If you are not resident in any country for tax purposes, please tick this box ☐

#### Beneficial owner 3

Surname	<input type="text" value="Mr / Mrs / Miss / Ms"/>	Forename(s)	<input type="text"/>
Address	<input type="text"/>		
	<input type="text" value="Postcode"/>		
Date of birth	<input type="text" value="D D M M C C Y Y"/>		
Country of tax residency	<input type="text"/>	National Insurance number/ Tax reference number	<input type="text"/>

If you are not resident in any country for tax purposes, please tick this box ☐

#### Beneficial owner 4

Surname	<input type="text" value="Mr / Mrs / Miss / Ms"/>	Forename(s)	<input type="text"/>
Address	<input type="text"/>		
	<input type="text" value="Postcode"/>		
Date of birth	<input type="text" value="D D M M C C Y Y"/>		
Country of tax residency	<input type="text"/>	National Insurance number/ Tax reference number	<input type="text"/>

If you are not resident in any country for tax purposes, please tick this box ☐

If there are more than four beneficial owners, please either copy this page or provide their details on a separate page.

**Please note indicating a beneficial owner or Designation will not affect the way the investment is registered, it will be registered solely in the name of the applicant(s) named in section 1 above.**

## 3. Designation details

You can indicate a Designation for the investment, for example, accounts for minors under 18 years of age must be registered in the name of an adult and must be designated in favour of a minor. Designation (e.g. minor's initials) (Maximum of 35 characters).

Designation	<input type="text"/>
-------------	----------------------

4. Investment details

Collective Investment funds within the Aviva Investors ICVCs.

Please indicate the amounts you wish to invest in each fund. The minimum initial investment is £1,000 per fund and regular savings are available from £50 per month per fund (except for the Aviva Investors Property Trust, which is from £30 per month).

	Single investments	Tick if income is to be paid out*	Amount of regular investment per month**
	(min £1,000)		(min £50)
Growth Funds			
European Equity	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
International Index Tracking	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-asset Fund I	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-asset Fund II	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-asset Fund III	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-asset Fund IV	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-asset Fund V	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-Manager Flexible	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Multi-Strategy Target Return	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
UK Growth	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
UK Opportunities	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
UK Smaller Companies	<input type="text" value="£"/>	N/A	<input type="text" value="£"/>
Income Funds			(min £50)
Corporate Bond	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Higher Income Plus	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
High Yield Bond	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Managed High Income	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Monthly Income Plus	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Multi-Strategy Target Income	<input type="text" value="£"/>	<input type="checkbox"/>	N/A

Income & Growth Funds

(min £1,000)

(min £50)

Distribution	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Global Equity Income	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Multi-Manager 20-60% Shares	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Multi-Manager 40-85% Shares	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Strategic Bond	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
UK Equity	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
UK Equity Income	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
UK Index Tracking	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
Asia Pacific Property	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
European Property	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>
			(min £30)
Property Trust	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="text" value="£"/>

\*Income cannot be paid out if the regular investment option is selected.

\*\* Regular investments must be made on a monthly basis by direct debit. The completed application and direct debit instruction must be received 14 working days prior to the collection date which will be on or around 6th day of each month.

**Note:** Certain funds enable you to receive income should you wish to do so. These funds offer income shares or units. If you wish to have your income reinvested, the income will be used to buy further shares or units in the relevant fund. For the other funds, accumulation shares or units are issued which results in income being rolled up into the capital value of your holding. Unless you have indicated otherwise, all income will be automatically reinvested. For all investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate. For investments of £25,000 or more, we reserve the right to deal only following the receipt of cleared funds. It is not possible to take income while making regular investments.

5. Bank/building society details

Only complete this section if you wish to receive income payments (or regular capital withdrawals for Multi-asset Funds only).

Please note that income is only paid from those funds indicated by a tick box in section 4. Income will be paid by direct credit to your UK bank or building society account and will be paid from outset. If you wish to take income at a later date, please contact us at the time. For all investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate. It is not possible to take income while making regular investments.

Full name and address of UK bank/building society

Name of account holder

Account number

Sort code

Building Society Roll no. (if applicable)

**6. Regular capital withdrawals (Multi-asset Funds only)** – This facility is only available for customers who have an investment in the Fund of £10,000 (net of initial charges) or above when a regular capital withdrawal is made. This facility is not available to customers who are paying regular investments.

If you wish to receive regular capital withdrawals, please indicate below the amount or percentage you wish to withdraw (the regular capital withdrawal will be applied proportionately across the Multi-asset Funds (indicated in section 4).

I wish for my regular capital withdrawal to be taken (please tick one box)

Monthly ☐ Quarterly ☐ Half-Yearly ☐ Once a year ☐

I wish to receive my first regular capital withdrawal payment on the month specified below (if left blank your first withdrawal will take place at the next available payment date) **Shares must be held for one year before proceeds are payable, so this date must be at least one year from the date of the first investment into the Fund.**

Month  Year

I wish to withdraw the following amount, which will be paid in instalments as indicated above. Please indicate a percentage (of investment value) or £ amount.

% or £

Please complete section 3 to indicate where these payments will be made.

For more information on the terms of capital withdrawals, please read the Supplementary Information Document.

## 7. Data protection

I/we consent to Aviva Investors using the information I/we supply to administer my/our plan and acknowledge that it may be processed by any company within the Aviva Group, by re-insurers or by third parties who provide services to Aviva Investors. It may be transferred to any country, including those outside the European Economic Area, for any of these purposes. Any information may be used for underwriting or claims handling purposes and disclosed in confidence to regulatory bodies, other insurance companies (directly or via shared databases), other Aviva Group companies and your financial adviser (including third parties providing services to them).

In addition, Aviva Investors or, if applicable, the business partner that introduced you to Aviva, may use some of your information to advise you by post, telephone or email of their products and services offered by Aviva Group companies or of the business partner. If you do not wish to receive this material, please write to Aviva Investors, Mailing Exclusion Team, PO Box 6412, Derby DE1 1SB.

## 8. Prevention of money laundering

In accordance with EU and UK legislation relating to the prevention of money laundering we are obliged to verify the identity and address of all parties (e.g planholder, premium payer, settlor, third parties including beneficial owners) to this contract. In the case of legal arrangements we are also required to establish the identity of any controllers that are not named parties as well as individuals who have a specified beneficial interest in the contract.

Where a financial adviser or Aviva Investors Representative is involved they will let you know what evidence you need to produce. If you are applying to us direct we will verify your identity with a third party identity verification company.

In certain circumstances you may be required to provide further evidence of your identity and confirmation of address, in which case Aviva Investors will contact you. If the product you are applying for allows payment by cheque and you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn.

## 9. Delivery Versus Payment (DVP) exemption

We will use the Delivery Versus Payment (DVP) exemption for Collective Investment Schemes as stated in the Financial Conduct Authority's Client Assets Sourcebook. This means that your uninvested money may not be protected as client money at the following times: for investments from the time we receive it to the time you are allocated shares; for withdrawals from the time we receive the proceeds from selling your shares to the time we make a payment to you. The maximum length of time your uninvested money may be unprotected is three business days for transactions carried out through a Commercial Settlement System (such as EMX or Clearstream) and one business day for all other methods. In either case, this period runs from the date we have received the money, whether from you (in the case of investments) or from the trustee or depository (in the case of withdrawals). If your money remains uninvested or has not been paid to you after the maximum period we will transfer it to a protected client money account.

10. Declaration

**The Key Investor Information Document(s) and Supplementary Information Document for the Aviva Investors Funds are important and you should take time to read them.**

I am/we are 18 years of age or over.

- I/we have read the latest relevant Key Investor Information Document(s) and Supplementary Information Document and are aware that I/we should retain a copy of these for my/our future reference.
- I/we have read and accept the Data Protection statement.
- I/we confirm that no financial advice has been received in respect of this investment other than from the financial adviser, if any, named on this application below unless otherwise indicated.
- I/we understand that you may undertake a search with a third party company who provide identity verification services for the purposes of verifying my/our identity and the details I/we have submitted as part of this application. To do so the third party company may check the details I/we supply against any particulars on any database (public or otherwise) to which they have access. They may also use my/our details in future to assist other companies for verification purposes. A record of the search will be retained.
- I/we agree to notify Aviva Investors UK Fund Services Limited immediately in the event the tax residency information changes.
- I/we declare that the information given in this Application Form is correct to the best of my/our knowledge and belief.
- All beneficial owners and other associated parties are known to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and anti-money laundering verification provisions as outlined in sections 7 and 8 above and in the Supplementary Information Document.
- I/we agree to Aviva Investors UK Fund Services Limited using the Delivery Versus Payment (DVP) exemption referred to above when handling my investment and withdrawal monies relating to this investment (including regular investments made by direct debit.)

Signature of applicants(s)	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>





---

Issued by Aviva Investors UK Fund Services Limited. Registered in England No. 1973412. Authorised and regulated by the Financial Conduct Authority. Firm Reference Number. 119310. Registered address: No. 1 Poultry, London EC2R 8EJ. An Aviva company. [www.avivainvestors.co.uk](http://www.avivainvestors.co.uk)

MC3266-V01-366974-CI062370 03/2015



# Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form excluding official use box using a ball point pen and send it to:

Aviva Investors UK Fund Services Limited  
PO Box 10410  
Chelmsford  
CM99 2AY

Service User Number

7	2	4	1	6	8
---	---	---	---	---	---

FOR Aviva Investors UK Fund Services Limited  
OFFICIAL USE ONLY  
This is not part of the instruction to your bank or building society.

Name(s) of account holder(s)

Bank/building society account number

--	--	--	--	--	--	--	--

Branch sort code

--	--	--	--	--	--

Name and full postal address of your bank or building society

To: The Manager	Bank/building society
Address	
Postcode	

Instruction to your bank or building society

Please pay Aviva Investors UK Fund Services Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Aviva Investors UK Fund Services Limited and, if so, details will be passed electronically to my bank/building society.

Signature(s)
Date

Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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.



## The Direct Debit Guarantee

- 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 Aviva Investors UK Fund Services Limited will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request Aviva Investors UK Fund Services Limited 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 Aviva Investors UK Fund Services Limited 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 Aviva Investors UK Fund Services Limited 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.



---

Issued by Aviva Investors UK Fund Services Limited. Registered in England No. 1973412. Authorised and regulated by the Financial Conduct Authority. Firm Reference Number. 119310. Registered address: No. 1 Poultry, London EC2R 8EJ. An Aviva company. [www.avivainvestors.co.uk](http://www.avivainvestors.co.uk)

MC3266-V01-366974-CI062370 03/2015



---

Issued by Aviva Investors UK Fund Services Limited. Registered in England No. 1973412. Authorised and regulated by the Financial Conduct Authority. Firm Reference Number. 119310. Registered address: No. 1 Poultry, London EC2R 8EJ. An Aviva company. [www.avivainvestors.co.uk](http://www.avivainvestors.co.uk)

MC3266-V01-366974-CI062370 03/2015