

Aviva Investors Investment ISA



Application Form

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).

A copy of this completed application form is available on request.

This is an application for the funds listed in section 2 within the Aviva Investors Investment ISA.

1. Personal details

Title	<input type="text" value="Mr / Mrs / Miss / Ms"/>	
Forename(s)	<input type="text"/>	
Surname	<input type="text"/>	
Address	<input type="text"/>	
	<input type="text"/>	
	<input type="text" value="Postcode"/>	
Date of birth	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>C</div><div>C</div><div>Y</div><div>Y</div></div>	
Daytime telephone number	<input type="text"/>	Email address <input type="text"/>
If you already hold an Investment ISA with us and would like to top-up your investment, please state your existing client reference number.		
<input type="text"/>		
National insurance number	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	
<p>This is a Government requirement and must be supplied. You should be able to find your National Insurance Number on a payslip, form P60, notice of coding or tax return. Otherwise your employer or tax office may be able to help. If you are in receipt of a state pension, your National Insurance Number may be shown on your bank statement next to any state pension payments you've received.</p>		
If you do not have a National Insurance Number, please tell us why in the space below.		
<input type="text"/>		
<input type="text"/>		
<input type="text"/>		

2. Investment details – Transfer to the Aviva Investors Investment ISA

Please note this application is for a Stocks & Shares ISA. You can invest in a Cash ISA, a Stocks & Shares ISA, an Innovative Finance ISA, or a Lifetime ISA, or a combination of the four, up to the total ISA limit in that tax year. You cannot open or pay into more than one Stocks & Shares ISA, more than one Cash ISA, more than one Innovative Finance ISA or more than one Lifetime ISA in the same tax year.

For more information, please call 0800 051 2003. Calls may be recorded for training and monitoring purposes, and to comply with applicable law and regulations. Calls are free from UK landlines and mobiles.

We will purchase Class 1 shares, except for the Global Equity Endurance Fund where we will purchase shares in Class 6, unless you indicate otherwise.

	Single investments (min £500 per fund)	Tick if income is to be paid out	Amount of regular investment per month* (min £50)
Income Funds			
Corporate Bond	£	<input type="checkbox"/>	£
Higher Income Plus	£	<input type="checkbox"/>	£
Managed High Income	£	<input type="checkbox"/>	£
Monthly Income Plus	£	<input type="checkbox"/>	£
Growth Funds			
Climate Transition Global Equity Fund	£	N/A	£
Continental European Equity	£	N/A	£
Global Equity Endurance	£	N/A	£
International Index Tracking	£	N/A	£
UK Listed Small and Mid-Cap Fund	£	N/A	£
UK Smaller Companies	£	N/A	£
Income & Growth Funds			
Distribution	£	<input type="checkbox"/>	£
Global Equity Income	£	<input type="checkbox"/>	£
Sustainable Stewardship Fixed Interest Feeder	£	<input type="checkbox"/>	£
Sustainable Stewardship International Equity Feeder	£	<input type="checkbox"/>	£
Sustainable Stewardship UK Equity Feeder	£	<input type="checkbox"/>	£
Sustainable Stewardship UK Equity Income Feeder	£	<input type="checkbox"/>	£
Strategic Bond	£	<input type="checkbox"/>	£
UK Listed Equity Income	£	<input type="checkbox"/>	£
UK Index Tracking	£	<input type="checkbox"/>	£
UK Listed Equity Unconstrained	£	<input type="checkbox"/>	£

2. Investment details – Transfer to the Aviva Investors Investment ISA (continued)

	Single investments (min £500 per fund)	Tick if income is to be paid out	Amount of regular investment per month* (min £50)
Multi-asset Funds			
Multi-asset Plus Fund I	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Plus Fund II	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Plus Fund III	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Plus Fund IV	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Plus Fund V	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Core Fund I**	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Core Fund II**	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Core Fund III**	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Core Fund IV**	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-asset Core Fund V**	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-Manager Funds			
Multi-Manager 20-60% Shares	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>
Multi-Manager 40-85% Shares	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>
Multi-Manager Flexible	£ <input type="text"/>	N/A	£ <input type="text"/>
Multi-Strategy Fund			
Multi-Strategy Target Return	£ <input type="text"/>	N/A	£ <input type="text"/>

* 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 the 6th day of each month.

** The Aviva Investors Multi-asset Core Fund I, Aviva Investors Multi-asset Core Fund II, Aviva Investors Multi-asset Core Fund III, Aviva Investors Multi-asset Core Fund IV and Aviva Investors Multi-asset Core Fund V all have a minimum single investment of £5,000.

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, accumulation shares or units will be issued where available. For investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate. We reserve the right to deal only following the receipt of cleared funds. It is not possible to take income while making regular investments.

3. Bank/building society details

Please provide bank/building society details below to be used for future withdrawals (including regular capital withdrawals for the Multi-asset Plus Funds where applicable).

Full name and address of UK bank/building society	<input type="text"/>											
	<input type="text"/>											
	Postcode <input type="text"/>											
Name of account holder	<input type="text"/>											
Account number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Sort code	<input type="text"/>	<input type="text"/>	<input type="text"/>
Building Society Roll no. (if applicable)	<input type="text"/>											

If you would like us to pay your income distribution payments to the same bank account, please tick this box. ☐

If you wish to use different account details for your income payments, please tick this box and provide a covering letter with these details. ☐

If you wish for income payments to be reinvested, please tick this box. ☐

Please note that income is only paid from those funds indicated by a tick box in section 3. Where selected, income will be paid by direct credit to your UK bank or building society account and will be paid from outset. For all investments where no bank or building society details are provided, or if no option is selected above, income will be automatically reinvested or accumulated as appropriate. It is not possible to take income while making regular investments. If you wish to take income at a later date, please contact us at the time.

4. Regular capital withdrawals (Multi-asset Plus Funds)

This facility is only available for customers who have an investment in the Multi-asset Plus Funds 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 Plus Funds indicated in section 2).

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.

5. Privacy Notice

Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at www.avivainvestors.com or request a copy by writing to us at the address stated in the “Contacting us” section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

Personal information we collect and how we use it

We will use your personal information:

- To provide you with your investment: we need this to set up and administer your investment,
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth and contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with setting up your investment.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

5. Privacy Notice (continued)

How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;
- With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area (“EEA”). We’ll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors, 80 Fenchurch Street, London EC3M 4AE or email dpoffice@avivainvestors.com

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner’s Office at any time.

Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva’s products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

6. 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 to this contract (e.g. planholder, third parties including beneficial owners). 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.

7. Delivery versus payment (DVP) exemption

We may make use of the Delivery versus Payment (DVP) exemption for Collective Investment Schemes as defined in the Financial Conduct Authority's Client Assets Sourcebook. This means your uninvested money may not be protected if Aviva Investors UK Fund Services Limited becomes insolvent during the period covered by the exemption.

There are no circumstances under which you should pay money into Aviva Investors UK Fund Services Limited's own bank accounts in relation to your Aviva Investors Investment ISA and we will not ask you to do so. However, in the event that we do receive money from you directly into these accounts, the DVP exemption will be used and any money we receive from you into those accounts may not be protected from the day we receive it to the close of the next business day. We will not use the DVP exemption for any payments received from you by cheque, Direct Debit or debit card and therefore these payments will be protected at all times.

The DVP exemption will also be used when we make payments to you by electronic bank transfer. When this happens your money may not be protected from the start of the day we are due to make the payment to you up to the end of the next business day. We will not use the DVP exemption for any payments we make to you by cheque and therefore these payments will be protected at all times.

8. Declaration

The Aviva Investors Investment ISA Terms & Conditions, Key Investor Information Document(s) and Supplementary Information Document are important and you should take time to read them. If there are any terms you do not understand you should ask for further information.

- I am 18 years of age or over.
- I have read the latest relevant Key Investor Information Document(s), Supplementary Information Document and Aviva Investors Investment ISA Terms and Conditions and am aware that I should retain a copy of these for my future reference.
- I confirm that no financial advice has been received in respect of this investment other than from the financial adviser, if any, named below unless otherwise indicated.
- I understand that you may undertake a search with a third party company who provide identity verification services for the purposes of verifying my identity and the details I have submitted as part of this application. To do so the third party company may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in future to assist other companies for verification purposes. A record of the search will be retained.
- I declare that the information given in this Application Form is correct to the best of my knowledge and belief.
- I apply to subscribe to the Aviva Investors Investment ISA for the below Tax Year and each subsequent year until further notice.

/

Please note these boxes must be completed. Non-completion renders this application void

- All subscriptions made, and to be made, belong to me.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Aviva Investors UK Fund Services Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- I authorise Aviva Investors UK Fund Services Limited:
 - To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
 - To make on my behalf any claims to relief from tax in respect of ISA investments.
- I have not subscribed or will not subscribe to another Stocks & Shares ISA in the same tax year that I subscribe to this Stocks & Shares ISA.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash ISA, a Stocks & Shares ISA, an Innovative Finance ISA, and a Lifetime ISA in the same tax year.
- I consent to Aviva Investors UK Fund Services Limited's use of the DVP exemption referred to above and as described in the Aviva Investors Investment ISA Terms & Conditions and understand that my money will not be protected from the insolvency of Aviva Investors UK Fund Services Limited during the periods covered by the exemption.
- I agree that the Aviva Investors Investment ISA Terms & Conditions apply to my investments.

Signature

Date

Name

9. Checklist

Before you send in this application, please complete the following checklist to ensure that you have fully completed this application. Failure to fully complete this application will delay the processing, and we will have to return it to you.

<input type="checkbox"/> Personal details	<input type="checkbox"/> Bank/Building Society details (if applicable)	<input type="checkbox"/> Cheque enclosed or Direct Debit details completed
<input type="checkbox"/> Tax year box completed	<input type="checkbox"/> Declaration signed and dated	<input type="checkbox"/> Transfer form (if applicable)
<input type="checkbox"/> Investment details		

10. For Financial Advisers' use only

I/We have seen the Aviva Investors Terms of Business for Firms as in force from time to time, the latest version of which can be found at www.avivainvestors.com/tob, and agree that this application constitutes "Business" as defined in and is therefore subject to those terms.

Signature of adviser	<input type="text"/>	Date	<input type="text"/> / <input type="text"/> / <input type="text"/>
Full name and address of agent	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/> Postcode		
Firm reference number	<input type="text"/>		
Agent number	<input type="text"/>		
Please tick this box if no advice has been given <input type="checkbox"/>			



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

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	

Reference

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

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

Service User Number

7	2	4	1	6	8
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FOR Aviva Investors UK Fund Services Limited OFFICIAL USE ONLY

This is not part of the instruction to your bank or building society.

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)

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Date

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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 No. 119310. Registered address: 80 Fenchurch Street, London EC3M 4AE. An Aviva company. www.avivainvestors.com

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