

# RATHBONES SINGLE STRATEGY FUNDS ISA/NISA APPLICATION FORM AND TRANSFER FORM (TAX YEAR 2023/2024, S-CLASS UNITS ONLY)

Type of investment (please indicate which you are making):

- New application (use part 1 of this form)
- Transfers from other Managers (use part 1 of this form and the ISA/NISA Transfer Authority)
- Top-up (addition to current holding; use part 1 of this form)
- Switches between funds or unit types (Income or Accumulation; use part 2 of this form)

If a top-up or a fund to switch, please tell us your current Rathbones Asset Management account number:

For your own benefit and protection, you must make sure that you have read the appropriate **Key Investor Information Document (KIID) and the Supplementary Information Document (SID)** for the fund(s) into which you are investing, topping-up or switching, before signing this application form. If you do not understand any part of the documents, please ask for further information or where appropriate, please consult your investment adviser.

This application form is for clients investing in a 2023/2024 Stocks and Shares ISA with Rathbones.

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**S-CLASS UNITS**

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Contact us 020 7399 0399 ram@rathbones.com

 **RATHBONES**



## PART 2: (FOR SWITCHING BETWEEN S-CLASS UNITS, DIFFERENT FUNDS AND/OR BETWEEN UNIT TYPES, SAME FUND)

Rathbones ISA/NISA investment details for fund switches (for new applications, top-ups and transfers, please see part 1)

Fund from:	Unit type*		Fund to:	Unit type*		Amount to be switched Lump sum
	Inc	Acc		Inc	Acc	
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	£ _____

I/We wish to switch: £ \_\_\_\_\_ as indicated above.

**Notes:** Please indicate your choice of fund(s), unit type and amount to be switched. If you require your income paid out (Income units), and have not completed one before, please complete the dividend mandate to pay direct to your bank account. \*Unit types are as follows: Inc = Income units, income paid out; Acc = Accumulation units (see the Supplementary Information Document), please tick the boxes as appropriate. Rathbone Global Opportunities Fund, only accumulation units available.

Please ensure that you sign and date the Stocks & Shares ISA/NISA Declaration

### Declaration and Authority

**I declare that** I am 18 years of age or over and that 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 the 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 Rathbones Asset Management 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. All subscriptions made, and to be made, belong to me. I have not subscribed and will not subscribe to another ISA/NISA or more than the overall subscription limit in total to a cash ISA/NISA, a stocks and shares ISA/NISA and (from 6 April 2023), or an innovative finance ISA/NISA (which Rathbones Asset Management does not offer), from another provider in the same tax year.

I confirm agreement to all client money arrangements and procedures including the Delivery Versus Payment exemption provisions (and those relating to commercial settlement exemption provisions where appropriate) as detailed in the Supplementary Information Document (SID).

**I authorise Rathbones Asset Management Limited** to hold my cash subscription, ISA/NISA 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/NISA investments. On my written request to transfer or pay to me, as the case may be, ISA/ NISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash. I agree to the ISA/NISA terms and conditions. I declare that this application form has been completed to the best of my knowledge and belief.

**I have read the appropriate Key Investor Information Document(s) and Supplementary Information Document**

Signature

Date

\_\_\_\_\_

## PART 3: (YOUR BANK/BUILDING SOCIETY DETAILS TO RECEIVE SALE PROCEEDS AND/OR INCOME PAYMENTS)

Please complete this section if you want income payments (income units) or sale proceeds arising from your investments to be paid into your bank or building society account. Please note that income cannot be paid if the investment is in accumulation units.

We will pay the proceeds of a sale to your bank/building society account; please list details of which below. If you prefer to receive a cheque, please tick here

Bank/building society name \_\_\_\_\_

Bank or building society sort code

Address \_\_\_\_\_

Account holder's name(s) \_\_\_\_\_

\_\_\_\_\_

Account number

\_\_\_\_\_ Postcode \_\_\_\_\_

Building society roll number \_\_\_\_\_

When completed, this form should be returned to your adviser or direct to our dealing office (Rathbones Asset Management Limited, PO Box 9948, Chelmsford CM99 2AG). For further information please see the Supplementary Information Document

Copies of the Prospectus, the latest Key Investor Information Document (KIID), the Supplementary Information Document (SID), and the latest Manager's report and accounts for this fund are available on request from us, free of charge.

**Rathbones Asset Management**

8 Finsbury Circus  
London EC2M 7AZ  
+44 (0)20 7399 0000  
Information line:  
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ram@rathbones.com  
rathbonesam.com

Rathbones Asset Management Limited is authorised and regulated by the Financial Conduct Authority and a member of The Investment Association. A member of the Rathbones Group Plc. Registered office: 8 Finsbury Circus, London EC2M 7AZ Registered in England No. 02376568.

# **RATHBONES ASSET MANAGEMENT ISA TRANSFER AUTHORITY (FOR USE WITH S-CLASS UNITS)**

**Essential note: please complete the Rathbones Asset Management ISA/NISA application form**

This form is for clients wishing to transfer an existing ISA to Rathbones.

**Important notes:**

**Transfers will only be accepted in cash form\*.**

**Only one ISA transfer per application form. If you have an ISA from more than one Manager to transfer, please complete separate form(s).**

**It is acceptable to complete a photocopy of this form.**

**It is advisable to check the current value of your ISA with your existing ISA Manager.**

To: The existing ISA manager \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Telephone (day) \_\_\_\_\_ Telephone (eve) \_\_\_\_\_  
Existing ISA reference number \_\_\_\_\_  
Client name \_\_\_\_\_

**Please tick as appropriate**

**I wish to:**

- A)  Transfer the current tax year subscriptions only      **OR**      C)  Transfer all holdings and current tax year subscriptions
- OR**      B)  Transfer all holdings (excluding current tax year subscriptions)      **OR**      D)  Transfer cash to the value of:
- OR**      State the name of specific unit trust(s) to be sold: \_\_\_\_\_

**If the amount you are asking to be transferred exceeds the current value, the existing Manager may reject the transfer.**

**Please complete this section if you want income payments (income units) or sale proceeds arising from your investments to be paid into your bank or building society account. Please note that income cannot be paid if the investment is in accumulation units.**

We will pay the proceeds of a sale to your bank/building society account; please list details of which below. If you prefer to receive a cheque, please tick here

Bank/building society name \_\_\_\_\_ Bank or building society sort code   
Address \_\_\_\_\_ Account holder's name(s) \_\_\_\_\_  
\_\_\_\_\_  
Account number   
\_\_\_\_\_ Postcode \_\_\_\_\_ Building society roll number \_\_\_\_\_

Rathbones Asset Management ISA/NISA reference (office use only)

**I hereby authorise and instruct you:**

- 1) to transfer forthwith my ISA to Rathbones Asset Management Limited, an approved ISA Manager with HM Revenue & Customs; and
- 2) to provide Rathbones Asset Management Limited with all relevant information relating to my ISA as it may require.

**Applicant's signature**

**Date**

\_\_\_\_\_

**Please return your completed forms (ISA application form and ISA transfer authority) to your adviser or direct to our dealing office (Rathbones Asset Management Limited, PO Box 9948, Chelmsford CM99 2AG).**

Rathbones Asset Management ISA/NISA reference (office use only)

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