

STOCKS & SHARES ISA APPLICATION



BNY MELLON

Please complete this form in blue or black ink, using CAPITAL letters and ticking the appropriate boxes.

This form can be used by individuals to:

- Make a lump sum investment in, or start a regular monthly payment to, the BNY Mellon Fund Managers Limited stocks and shares ISA.
- Make an additional subscription to your BNY Mellon Fund Managers Limited stocks and shares ISA, and must be used for additional subscriptions if one full tax year has lapsed since your most recent BNY Mellon ISA subscription.

Important Information:

- **Before you sign this form:** you should read the Prospectus and Key Investor Information Document (KIID) for each fund in which you want to invest. The Prospectus and KIID can be found at www.bnymellonim.co.uk or call 0800 614 330.
- **Before you invest:** If you are unsure whether this investment is suitable for your needs, please consult your Financial Adviser. If you are a US Person (as defined in the prospectus relevant to the fund(s) in which I am investing), we are unable to accept your investment. If you are a staff/staff related investor, please ensure that you utilise the Staff Application Form/s.

ADVISER DETAILS: Please tick this box if you are entitled to claim commission as defined by the rules in the FCA Conduct of Business Sourcebook (COBS)

Company name

Adviser name

BNY Mellon reference number

FCA number

IMPORTANT: As detailed in our Terms of Business you are responsible for selecting the appropriate share class for your client.

1 PERSONAL DETAILS

Please note that by completing this Application Form you are disclosing personal information. Please see the Privacy Notice at Appendix 1, which details how your personal information will be used, shared and transferred.

Mr Mrs Miss Ms Other

Client reference number (current investors)

Forename(s) Surname

Address

Postcode

Telephone (day) Telephone (evening)

Email

Date of birth Town or City of birth Country of birth

Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

| Country/Countries of Tax Residency | National Insurance 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"/> <input type="text"/> | Tick here if you do not have an National Insurance Number <input type="checkbox"/> |
| <input type="text"/> | Tax Reference Number | <input type="text"/> |

2 SELECTING YOUR ISA

I apply to subscribe to a Stocks and Shares ISA for the tax year / and each subsequent tax year and until further notice. If you are applying to make monthly payments and do not wish to continue these after the end of the current tax year, please tick this box



HOW TO CONTACT US

0800 614 330 clientservices@bnymellon.com www.bnymellonim.co.uk

We are open Monday to Friday from 8:30am-5:30pm excluding public holidays. For your security and to improve the quality of our service, we may record and monitor telephone calls. Write to us: BNY Mellon Fund Managers Limited, Client Service Centre, PO Box 366, Darlington, DL1 9RF. Please note that information in an email cannot be guaranteed as secure. Do not include sensitive information in emails to BNY Mellon.

3 YOUR INVESTMENT CHOICES

Please specify your choice of fund(s) and the lump sum and/or monthly amount you wish to invest. See our Fund Range brochure for details. For monthly contributions in a Regular Savings Plan, any income will be reinvested. Please ensure you complete the Direct Debit Mandate (overleaf) and send us your first payment by cheque, drawn on your account from which all future Direct Debits are to be collected. Investments must be made into the sterling denominated shares or units. You also need to select which share/unit type you require. **Client Classification:** Under the Financial Conduct Authority Conduct of Business rules we are required to classify our investors. We, BNY Mellon Fund Managers Limited, classify you as a retail client unless otherwise notified. This means that you will have the maximum amount of protection available for complaints, compensation and will receive information in a straightforward way. However, some clients e.g. professionals may not necessarily have the same rights under the Financial Ombudsman Service and the Financial Services Compensation Scheme. Further details may be found on our website - www.bnymellonim.co.uk under Client Classification. For the purposes of sales and redemptions, the applicants will be treated as Retail.

| Full name of the fund and, if relevant Sub-Fund | ISIN* | Lump sum amount min. amount £1000 per class of share/unit | Monthly amount min. amount £50 per class of share/unit |
|---|-------|---|--|
| Fund: | | £ | £ per month |
| Fund: | | £ | £ per month |
| Fund: | | £ | £ per month |
| Fund: | | £ | £ per month |

***This section must be completed.** For a list of all our ISIN codes please refer to our Fund Range Brochure
Please use another sheet of paper if you require more space to list your choice of funds.

4 INCOME INSTRUCTIONS

a Receiving income by direct credit - Complete this section if you would like income to be paid directly into your bank or building society account.

For monthly contributions in a Regular Savings Plan, any income will be reinvested.

Please note that you can only receive income if you have selected income shares or units. Please note that BNY Mellon Fund Managers Limited does not accept any responsibility for the bank/building society account numbers you give here; you give these numbers entirely at your own risk so please check that they are correct.

I/We authorise BNY Mellon Fund Managers Limited to make payments of income arising from my/our holding by direct credit transfer to the bank or building society shown.

| | | |
|--|------------------------------|--|
| Bank or building society name | Name(s) of account holder(s) | |
| Address | | |
| | Postcode | |
| Bank or building society account number | Sort code | |
| Building society reference/roll number (if applicable) | | |

b Reinvesting income

I/We would like my/our income to be reinvested in further shares/units (applicable to income share classes/units only).



5 INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT

To be only completed by regular savers who wish to pay by Direct Debit.

| | | |
|--|------------------------------|--|
| Bank or building society name | Name(s) of account holder(s) | |
| Bank or building society address | | |
| | Postcode | |
| Bank or building society account number | Sort code | |
| Building society reference/roll number (if applicable) | | |

Instruction to your bank or building society: Please pay BNY Mellon Fund Managers 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 BNY Mellon Fund Managers Limited and, if so, details will be passed electronically to my bank or building society.

| | |
|-----------|---------------------|
| Reference | Service user number |
| Signature | 8 0 0 0 3 8 |
| | Date |

Banks and building societies may not accept Direct Debit instructions for some types of account.



THE DIRECT DEBIT GUARANTEE *This guarantee should be detached and retained by the payer.*



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, BNY Mellon Fund Managers Limited will notify you five working days in advance of your account being debited or as otherwise agreed. If you request BNY Mellon Fund Managers 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 BNY Mellon Fund Managers 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 BNY Mellon Fund Managers 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.

6 DECLARATION AND AUTHORISATION

I declare that: I have received, read and understood the Key Investor Information Document and Supplementary Information Document. All subscriptions made, and to be made, belong to me. I am 18 years of age or over. I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted Individual Savings Accounts in the same tax year. I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same tax year that I subscribe to this stocks and shares ISA. 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 and 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 BNY Mellon 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 will inform BNY Mellon promptly of any change in my circumstances which affects any of this information. In addition, I am neither a US Person (as defined in the prospectus relevant to the fund(s) in which I am investing) nor am I applying for shares or units directly or indirectly for the benefit of any US Person and I hereby confirm that the prospectus and/or Key Investor Information Documents for the fund(s) has been made available, any offer of this Stocks and Shares ISA has been made and this application has been transmitted whilst I was outside the United States. **I authorise BNY Mellon Fund Managers 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. To make on my behalf any claims to relief from tax in respect of ISA investments. I agree that my ISA will be governed by BNY Mellon ISA Terms and Conditions. I declare that this application has been completed to the best of my knowledge and belief. I agree to notify BNY MFM immediately in the event the information I have provided in this form changes and I make the declarations and give the authorisations set out above.

By signing and returning this Application Form, I/we* can confirm that I/we* have read and understand the current Prospectus and Key Investor Information Document (KIID) (*delete as appropriate).

| | |
|-----------|------|
| Signature | Date |
|-----------|------|

7 RETURNING YOUR FORM

Please send your completed application form to: BNY Mellon Fund Managers Limited, Client Service Centre, PO Box 366, Darlington, DL1 9RF.

Checklist

- Investing regularly:** Have you completed the Direct Debit Instruction in Section 7? Please note that it takes 10 business days to set up a new Direct Debit Instruction. Your Direct Debit payment is collected and invested on the 1st of each month or the next business day if it falls on a weekend or bank holiday. Send us your first payment by cheque drawn on your account from which all future Direct Debits are to be collected.
- Have you enclosed a cheque payable to BNY Mellon Fund Managers Limited?
- Income options:** Have you completed Section 4a to receive direct credit payments, or completed Section 4b to reinvest income?
- Have you read, signed and dated the Declaration and Authorisation (Section 6)?

APPENDIX 1

Privacy Notice

BNY Mellon Fund Managers Limited (BNYMFM) as the ACD of the Company takes its data protection and privacy responsibilities seriously. This notice provides a short summary of the purposes for which your personal information is being used, shared and transferred. Please note that your personal data as provided in this Application Form and with respect to your shareholding of the Company is and will be collected and held by BNYMFM as the Company's ACD. Further information about how your personal information is collected, used and shared, the lawful basis on which such information is used and your associated legal rights is provided in THE BANK OF NEW YORK MELLON EMEA PRIVACY STATEMENT, which is accessible at the 'PRIVACY' link on the BNY Mellon Investment Management website (www.bnymellonim.com). Please note that where reference is made in the full privacy statement to "BNY Mellon Data Subjects" that this will also include the collection of information about you if you are a shareholder of, or prospective investor in, the Company.

Your personal information will be used for the following purposes:

- for the provision of financial services and the administration of your investment/s;
- to confirm or update client records and to manage your relationship with us;
- to carry out 'know-your-customer checks', anti-money laundering screening and other identity checks as required by law and to meet our regulatory obligations;
- to conduct due diligence and to screen against sanctions lists;
- for the prevention and detection of fraud and other crimes;
- for compliance with legal, regulatory and tax obligations and guidance;
- in connection with legal proceedings or for obtaining legal advice; and
- to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and the usability of technology and tools.

Your personal information may be shared within the BNY Mellon Group to: The Bank of New York Mellon (International) Limited (as the administrator for the Company), BNY Mellon Investment Management EMEA Limited (as the global distributor and promoter of the Company) and any sub-distributors it may have appointed within the BNY Mellon Group, BNY Mellon entities with whom you may have terms of business in support of your investment in the Company (e.g. a fee agreement that facilitates an alternative charging structure within a share class) and other or successor BNY Mellon service providers that may be appointed from time-to-time to provide services in connection with the Company.

Your personal information may be shared with selected third parties including the depositary to the Company, the auditors to the Company and to BNYMFM, legal and other professional advisers to the Company and to BNYMFM, appropriate authorities (including, without limitation, any tax or regulatory authorities or relevant government departments), and agencies and organisations working to prevent fraud in financial services or similar service providers.

BNYMFM will transfer or store your personal information in other countries, including those outside Europe, under the protection of appropriate safeguards.