

April 2019

Neptune application forms

Retail application

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Individual Savings Account (ISA)

Application form for lump sum or regular savings plan investments in a Stocks and Shares ISA

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. ISA TAX YEAR DETAILS

I apply to subscribe for a Stocks and Shares ISA for the tax year commencing April 20____*.
 *Please complete to confirm the tax year for your lump sum subscription or the year in which your continuous subscription to a Regular Savings Plan (RSP) will commence.

2. PERSONAL DETAILS

<input type="checkbox"/> Please tick if you are an existing Neptune investor	Account number	
Title	Permanent residential address	
Forename(s)		
Surname		
Date of birth	Postcode	
National Insurance Number	Telephone number	

If you do not have a National Insurance Number, please tick here

3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number	Address	
Consultant's name		
Company name		
	Postcode	
Special terms	Tel no. (incl area code)	
	Email	

If you have not received advice from a financial adviser, please tick here.

4. INVESTMENT DETAILS

Fund Name	Lump sum amount		Regular savings amount	Income*
	Income	Accumulation		
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Total	£	£	£ Per month	

Payment by cheque Please make cheques payable to Neptune Investment Management Limited.

I/We the account holder(s) enclose a cheque for:	£
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All investors can subscribe to a maximum of £20,000 to any combination of permitted ISAs in the 2019-2020 tax year. *Please tick if income is to be taken and complete section 7. Please refer to the funds below.

The minimum lump sum investment for the GBP A share class is £1,000. A Regular Savings Plan is available for GBP A share classes. The minimum regular savings amount is £50 a month. You cannot make a one off payment by Direct Debit.

Cheque third party payments Payment by cheque can only be accepted from a third party if that person is a close family member (this would include parent/spouse/sibling/grandparents). In all other cases payment by cheque must be drawn on your own (or joint) personal bank account. Where payment is by building society cheque or banker's draft, it must be certified on the back, with details of your account to show that payment is being made from your own (or joint) personal bank account.

If you wish to invest by monthly instalments into the Regular Savings Plan, your initial payment must be made by enclosing a personal cheque. You must also complete the attached Direct Debit Form (on page 6) and return it to us, with this properly completed application form.

For a full list of Neptune funds, please visit www.neptunefunds.com

5. FUND NAME

Balanced Fund	Global Equity Fund	UK Mid Cap Fund
China Fund	Income Fund	UK Opportunities Fund
European Opportunities Fund	Japan Opportunities Fund	US Opportunities Fund
Global Alpha Fund	Russia & Greater Russia Fund	

6. INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT

Please fill in the form and send to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR.



To: The Manager
Address:
Name(s) of account holder(s):

Instruction to your bank or building society

Please pay Neptune Investment Management Ltd 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 Neptune Investment Management Ltd and, if so, details will be passed electronically to my bank/building society.

Service user number

6	5	6	8	8	9
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Reference number

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Sort code													
Bank/Building society account number													

Signature

Date

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, Neptune Investment Management Ltd will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd

7. BANK DETAILS FOR INCOME PAYMENTS

Please complete these details if you have chosen income shares and would like your distributions paid out. Note: if your details change or if you would like payments to be made to an alternative account, please advise us in writing.

Bank name		Name(s) of account holder(s)	
Address			
		Account number	
Postcode		Sort code	

8. DECLARATION AND AUTHORISATION

I declare that I have received and read the Key Investor Information Document (KIID) in which Neptune Investment Management Limited has offered to carry out investment services.

I confirm that the adviser named in section 7 (if applicable) on this application form shall be entitled to receive commission and to give instructions and receive documentation on my behalf during the life of this investment unless I instruct you to the contrary in writing.

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I warrant that I am not resident in the United States of America or within an area subject to its jurisdictions nor am I a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

By signing below you declare that:

(i) All subscriptions made, and to be made, belong to me; (ii) I am 18 years of age or over; (iii) I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted ISA's in the same tax year; (iv) 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; and (v) 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 Neptune Investment Management Ltd 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. (vi) I will inform Neptune Investment Management Ltd promptly of any changes in my circumstances which affect any of this information.

Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

I authorise Neptune Investment Management Ltd:

(i) To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; (ii) to make on my behalf any claims to relief from tax in respect of ISA investments; (iii) on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash; and (iv.) if relevant to make income payments due to me under the terms of this ISA by the Bankers Automated Clearing System ("BACS") directly to my bank account, details of which I have provided below.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or it can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

I agree to the Terms & Conditions of the ISA Agreement.

I declare that this application form has been completed to the best of my knowledge and belief and that I have read the Key Investor Information Document(s) (KIIDs). These are important as they form a summary of the basis on which the service is provided.

Signed	Date
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Junior Individual Savings Account (JISA)

Application form for lump sum or regular savings plan investments in a Stocks and Shares JISA

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. JISA TAX YEAR DETAILS

I apply to subscribe for a Stocks and Shares JISA for the tax year commencing April 20____*.
 *Please complete to confirm the tax year for your lump sum subscription or the year in which your continuous subscription to a Regular Savings Plan (RSP) will commence.

2. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Registered contact (parent or guardian)		Child	
Account number		Title	
Title		Forename(s)	
Forename(s)		Surname	
Surname		Date of birth	
Address		Address	
Postcode		Postode	
Tel No. (incl area code)		National Insurance Number	

If you do not have a National Insurance Number, please tick here

3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. INVESTMENT DETAILS

Fund Name	Lump sum amount		Regular savings amount
	Accumulation		
Fund Name	£		£ Per month
Fund Name	£		£ Per month
Fund Name	£		£ Per month
Fund Name	£		£ Per month
Total	£		£ Per month

Note: The amount that can be paid into a Junior ISA for 2019-2020 tax year is £4,368. Please refer to the funds overleaf.

The minimum lump sum investment for the GBP A share class is £1,000. A Regular Savings Plan is available for GBP A share classes. The minimum regular savings amount is £50 a month. **You cannot make a one off payment by Direct Debit.**

If you wish to invest by monthly instalments into the Regular Savings Plan, your initial payment must be made by enclosing a personal cheque. You must also complete the attached Direct Debit Form (on page 12) and return it to us, with this properly completed application form.

For a full list of Neptune funds, please visit www.neptunefunds.com

Only non-income paying funds (accumulation shares/units) can be held within the JISA. Therefore, you can only invest in the accumulation shares/units of Neptune funds.

5. FUND NAME

Balanced Fund	Global Equity Fund	UK Mid Cap Fund
China Fund	Income Fund	UK Opportunities Fund
European Opportunities Fund	Japan Opportunities Fund	US Opportunities Fund
Global Alpha Fund	Russia & Greater Russia Fund	

6. INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT

Please fill in the form and send to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR.



To: The Manager

Address:

Name(s) of account holder(s):

Instruction to your bank or building society
 Please pay Neptune Investment Management Ltd 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 Neptune Investment Management Ltd and, if so, details will be passed electronically to my bank/building society.

Service user number

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Reference number

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Sort code

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Bank/Building society account number

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Signature

Date

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, Neptune Investment Management Ltd will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd

7. DECLARATION AND AUTHORISATION

I declare that I have received and read the Key Investor Information Document (KIID) in which Neptune Investment Management Limited has offered to carry out investment services.

I confirm that the adviser named in section 6 (if applicable) on this application form shall be entitled to receive commission and to give instructions and receive documentation on my behalf during the life of this investment unless I instruct you to the contrary in writing.

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

The child named in section 2 will be the beneficial owner of this account.

By signing below you declare that:

(i) I am the child or I have parental responsibility for the child; (ii) I/the child does not have a Child Trust Fund account; (iii) I will be the registered contact for the JISA; (iv) I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted JISA's in the same tax year for this child; (v) I have not subscribed and will not subscribe to another Stocks and Shares JISA in the same tax year that I subscribe to this Stocks and Shares JISA for this child; and (vi) The child is resident in the United Kingdom. (vii) I will inform Neptune Investment Management Ltd promptly

of any changes in the child's circumstances which affect any of this information.

Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is a United States person.

I authorise Neptune Investment Management Ltd:

(i) To hold the child's cash subscription, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; (ii) to make on the child's behalf any claims to relief from tax in respect of JISA investments.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or it can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

I agree to the Terms & Conditions of the JISA Agreement.

I declare that this application form has been completed to the best of my knowledge and belief and that I have read the Key Investor Information Document(s) (KIIDs). These are important as they form a summary of the basis on which the service is provided.

Signature: registered contact (parent or guardian)	Date
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OEIC/Unit trust investment

Application form for lump sum or Regular Savings Plan investments

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please complete the details below for each registered investor. You may have up to four holders for each investment. Please send additional investor details on a separate sheet.

Please tick if you are an existing Neptune investor

Account number		Account designation	
Investor 1		Investor 2	
Title		Title	
Forename(s)		Forename(s)	
Surname		Surname	
Date of birth		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		Tel no. (incl area code)	

2. ANTI-MONEY LAUNDERING INFORMATION

For anti-money laundering requirements, please confirm the following details:

I am/We are investing on my/own behalf and I am/we are the beneficial owners of the funds and any subsequent income reinvested.

I am/We are investing on behalf of a third party who is the beneficial owners of the funds and any subsequent income reinvested.

Please provide the name of the ultimate beneficiary(ies)

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3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. INVESTMENT DETAILS

Fund Name	Lump sum amount		Regular savings amount	Income*
	Income	Accumulation		
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Fund Name	£	£	£ Per month	<input type="checkbox"/>
Total	£	£	£ Per month	

Payment by cheque Please make cheques payable to Neptune Investment Management Limited.

I/We the account holder(s) enclose a cheque for:	£
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Note: *Please tick if income is to be taken and complete section 7.

The minimum lump sum investment for the GBP A share class is £1,000. The minimum regular savings amount is £50 a month. You cannot make a one off payment by Direct Debit.

If you wish to invest by monthly instalments into the Regular Savings Plan, your initial payment must be made by enclosing a personal cheque. You must also complete the attached Direct Debit Form (on page 18) and return it to us, with this properly completed application form.

Payment by cheque can only be accepted from a third party if that person is a close family member (this would include parent/spouse/sibling/grandparents). In all other cases payment by cheque must be drawn on your own (or joint) personal bank account. Where payment is by building society cheque or banker's draft, it must be certified on the back, with details of your account to show that payment is being made from your own (or joint) personal bank account. For an OEIC or unit trust investment top-up if payment is being provided by a person other than the account holder(s), then that person must attach further information to this form which must include their full name, permanent address and date of birth. Failure to do so may delay the application.

For a full list of Neptune funds, please turn overleaf.

5. FUND NAME

Balanced Fund	Global Equity Fund	UK Mid Cap Fund
China Fund	Income Fund	UK Opportunities Fund
European Opportunities Fund	Japan Opportunities Fund	US Opportunities Fund
Global Alpha Fund	Russia & Greater Russia Fund	

6. INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT

Please fill in the form and send to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR.



To: The Manager	Instruction to your bank or building society Please pay Neptune Investment Management Ltd 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 Neptune Investment Management Ltd and, if so, details will be passed electronically to my bank/building society.		
Address:			
Name(s) of account holder(s):			
	Service user number		
	<input type="text"/>		
	Reference number		
	<input type="text"/>		
Sort code	<input type="text"/>	Signature	Date
Bank/Building society account number	<input type="text"/>		

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, Neptune Investment Management Ltd will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd 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 Neptune Investment Management Ltd

7. BANK DETAILS FOR INCOME PAYMENTS

Please complete these details if you have chosen income shares and would like your distributions paid out. Note: if your details change or if you would like payments to be made to an alternative account, please advise us in writing.

Bank name		Name(s) of account holder(s)	
Address			
	Account number		
Postcode	Sort code		

8. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you declare that:

- (i) I/We have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.
- (ii) I am/We are 18 years of age or older.
- (iii) Any intermediary named in section 7 on this application form shall be entitled to share commission and to give instructions and receive documentation on my/our behalf during the life of this investment unless I/we instruct you to the contrary in writing.
- (iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

8. DECLARATION

Beneficial owner

“Beneficial owner”: means the person or entity for whose benefit the investment is ultimately acquired, held and/or redeemed.

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

Beneficial owner 2

Name		Name	
Title		Title	
Permanent residential address		Permanent residential address	
Date of birth		Date of birth	

Beneficial owner 3

Beneficial owner 4

Name		Name	
Title		Title	
Permanent residential address		Permanent residential address	
Date of birth		Date of birth	

Declaration

All beneficial owners and other associated parties are know to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and money laundering verification provisions as outlined in the terms and conditions.

Applicant’s signature	Date
Applicant’s signature	Date

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signed (first named investor)	Date
Signed (second named investor)	Date

9. FATCA & CRS DECLARATION

Individual self-certification form

Tax residency

Tax regulations¹ require us to collect information about each investor's tax residency². In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with Her Majesty's Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions³.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency², please contact your tax adviser.

Country/Countries of tax residency	Tax Identification Number*

Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.

I agree to notify Neptune immediately if any of this information changes in the future.

Name (please print in full)			
Permanent residence address		Date of birth*	
		Date	
Postcode		Country	Signature

- 1 The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).
- 2 In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.
- 3 Those countries that have agreed to exchange information under FATCA and the CRS¹.

*If you are a UK tax resident and not a tax resident anywhere else and also not a US citizen, you are not required to provide details of your 'Tax Identification Number' or 'Date of birth', or, if you are not resident in a jurisdiction that is reportable under CRS or FATCA and also not a US citizen, you are not required to provide your 'Tax Identification Number' or 'Date of birth'.

Individual Savings Account (ISA) transfer form

Application form to transfer your ISA to Neptune Investment Management Limited from another Plan Manager

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Account number	
Title	Permanent residential address
Forename(s)	
Surname	
Date of birth	Postcode
National Insurance Number	Telephone number

If you do not have a National Insurance Number, please tick here

2. DECLARATION AND AUTHORISATION

I declare that I have received and read the Key Investor Information Document (KIID) in which Neptune Investment Management Limited has offered to carry out investment services.

I confirm that the adviser named in section 7 (if applicable) on this application form shall be entitled to receive commission and to give instructions and receive documentation on my behalf during the life of this investment unless I instruct you to the contrary in writing.

I wish to transfer my ISA to Neptune Investment Management Limited.

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I warrant that I am not resident in the United States of America or within an area subject to its jurisdictions nor am I a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

By signing below you declare that:

(i.) All subscriptions made, and to be made, belong to me; (ii) I am 18 years of age or over; (iii) I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash ISA and a Stocks and Shares ISA in the same tax year; (iv) 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; and (v) 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 Neptune Investment Management Ltd 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. (vi) I will inform Neptune Investment Management Ltd promptly

of any changes in my circumstances which affect any of this information.

Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or it can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

I authorise Neptune Investment Management Ltd:

(i) To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; (ii) to make on my behalf any claims to relief from tax in respect of ISA investments; (iii) on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash; and (iv) if relevant to make income payments due to me under the terms of this ISA by the Bankers Automated Clearing System ("BACS") directly to my bank account, details of which I have provided below.

I agree to the Terms & Conditions of the ISA Agreement.

I declare that this application form has been completed to the best of my knowledge and belief and that I have read the Key Investor Information Document(s) (KIIDs). These are important as they form a summary of the basis on which the service is provided.

Signed	Date
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3. INVESTMENT DETAILS

Fund name	Share/Unit type (delete as appropriate)	Proportion of the amount transferred	Income*
Fund Name	Income/Accumulation	%	<input type="checkbox"/>
Fund Name	Income/Accumulation	%	<input type="checkbox"/>
Fund Name	Income/Accumulation	%	<input type="checkbox"/>
Fund Name	Income/Accumulation	%	<input type="checkbox"/>
Total	Income/Accumulation	%	

Please indicate in the appropriate box(es) how you wish the money transferred into your ISA to be invested. Please refer to the funds overleaf.

All investors can subscribe to a maximum of £20,000 to any combination of permitted ISAs in the 2019-2020 tax year. *Please tick if income is to be taken and complete section 5.

4. EXISTING MANAGER TRANSFER AUTHORITY

Tax year of ISA transferred	ISA plan reference number(s)	Transfer percentage
Type of ISA:		%
<input type="checkbox"/> Cash <input type="checkbox"/> Stocks & Shares		%
		%
To the existing ISA Manager		
Address	Name	
	Signature	
Postcode	Date	

I authorise and instruct you (i) to transfer the above ISA(s) (a) in cash to Neptune Investment Management Ltd, an approved Plan Manager with HMRC or (b) as stock (only in the event that you are transferring the above ISA(s) held in a Nominee name or on a fund platform) to Neptune Investment Management Ltd, an approved Plan Manager with HMRC and (ii) to provide Neptune Investment Management Ltd with all the relevant information relating to my (ISA)(s) as they may require.

5. BANK DETAILS FOR INCOME PAYMENTS

Please complete these details if you have chosen income shares and would like your distributions paid out. Note: if your details change or if you would like payments to be made to an alternative account, please advise us in writing.

Bank name		Name(s) of account holder(s)	
Address			
		Account number	
Postcode		Sort code	

6. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

7. FUND NAME

Balanced Fund	Global Equity Fund	UK Mid Cap Fund
China Fund	Income Fund	UK Opportunities Fund
European Opportunities Fund	Japan Opportunities Fund	US Opportunities Fund
Global Alpha Fund	Russia & Greater Russia Fund	

Junior Individual Savings Account (JISA) transfer form

Application form to transfer your JISA to Neptune Investment Management Limited from another Plan Manager

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Registered contact (parent or guardian)		Child	
Account Number		Title	
Title		Forename(s)	
Forename(s)		Surname	
Surname		Date of birth	
Address		Address	
Postcode		Postode	
Tel no. (incl area code)		National Insurance Number	

If you do not have a National Insurance Number, please tick here

2. DECLARATION AND AUTHORISATION

I declare that I have received and read the Key Investor Information Document (KIID) in which Neptune Investment Management Limited has offered to carry out investment services.

I confirm that the adviser named in section 6 (if applicable) on this application form shall be entitled to receive commission and to give instructions and receive documentation on my behalf during the life of this investment unless I instruct you to the contrary in writing.

I wish to transfer my JISA to Neptune Investment Management Limited.

The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.

I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

The child named in section 1 will remain the beneficial owner of this account.

By signing below you declare that:

(i) I am the child or I have parental responsibility for the child; (ii) I/the child does not have a Child Trust Fund account; (iii) I will be the registered contact for the JISA; (iv) I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash JISA and a Stocks and Shares JISA in the same tax year for this child; (v) I have not subscribed and will not subscribe to another Stocks and Shares JISA in the same tax year that I subscribe to this Stocks and Shares JISA for this child; and (vi) The child is resident in the United Kingdom. (vii.) I will inform Neptune Investment Management Ltd promptly

of any changes in the child's circumstances which affect any of this information.

Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is a United States person.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or it can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

I authorise Neptune Investment Management Ltd:

(i) To hold the child's cash subscription, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; (ii.) to make on the child's behalf any claims to relief from tax in respect of JISA investments.

I agree to the Terms & Conditions of the JISA Agreement.

I declare that this application form has been completed to the best of my knowledge and belief and that I have read the Key Investor Information Document(s) (KIIDs). These are important as they form a summary of the basis on which the service is provided.

Signature: registered contact (parent or guardian)	Date
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3. INVESTMENT DETAILS

Fund name	Share/Unit type (delete as appropriate)	Proportion of the amount transferred
Fund Name	Income/Accumulation	%
Fund Name	Income/Accumulation	%
Fund Name	Income/Accumulation	%
Fund Name	Income/Accumulation	%
Total	Income/Accumulation	%

Please indicate in the appropriate box(es) how you wish the money transferred into your JISA to be invested. Please refer to the funds overleaf.

All investors can subscribe a maximum £4,368 for the 2019-2020 tax year.

Only non-income paying funds (accumulation shares/units) can be held within the JISA. Therefore, you can only invest in the accumulation shares/units of Neptune funds.

4. EXISTING MANAGER TRANSFER AUTHORITY

Tax year of JISA transferred	JISA plan reference number(s)	Transfer percentage
		%
		%
		%

Type of ISA:

Cash Stocks & Shares

To the existing JISA Manager

Address	Name
	Signature
Postcode	Date

Please indicate in the appropriate box(es) how you wish the money transferred into your JISA to be invested. Please refer to the funds overleaf.

All investors can subscribe a maximum £4,368 for the 2019-2020 tax year.

Only non-income paying funds (accumulation shares/units) can be held within the JISA. Therefore, you can only invest in the accumulation shares/units of Neptune funds.

5. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

FUND NAME

Balanced Fund	Global Equity Fund	UK Mid Cap Fund
China Fund	Income Fund	UK Opportunities Fund
European Opportunities Fund	Japan Opportunities Fund	US Opportunities Fund
Global Alpha Fund	Russia & Greater Russia Fund	

Switching form

This form should be used if you wish to change your investment choice

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please complete the details below for each registered investor. You may have up to four holders for each investment. Please send additional investor details on a separate sheet.

Please tick if you are an existing Neptune investor

Account number		Account designation	
Investor 1		Investor 2	
Title		Title	
Forename(s)		Forename(s)	
Surname		Surname	
Date of birth		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		Tel no. (incl area code)	

2. SWITCH INSTRUCTIONS

For full or partial switches the value of the new or existing holding should not be below the minimum limit of £1000 per fund at the time of switching. The switch is to be made from my/our: (Please tick one box only. A separate form is required for each product).

ISA OEIC

Switch from: enter below your existing fund name(s) – If you want to switch the entire fund enter 100%

Fund name	Share type (Accumulation/Income)	Enter % to be switched from			
				. 0 0	%
				. 0 0	%
				. 0 0	%

Switch to: enter below your new fund name(s) and the percentage of the total proceeds to be switched into the fund(s) e.g. if one fund enter 100% or if two funds enter a combination that adds up to 100%.

Fund name	Share type (Accumulation/Income)	Enter % to be switched to			
				. 0 0	%
				. 0 0	%
				. 0 0	%
If more than one fund, the combined total must add up to		1	0	0	. 0 0 %

Please note funds will be switched into the same share class

For a full list of Neptune funds, please visit www.neptunefunds.com

3. INTERMEDIARY'S DETAILS - IF APPLICABLE

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. DIRECT DEBIT (MONTHLY REGULAR SAVERS ONLY)

I/We wish to continue my/our monthly regular savings contributions into the new fund

OR

I/We wish to cancel my/our monthly regular savings contributions

Please note: if neither box is ticked the regular savings facility will continue as per the existing terms. If we receive this form shortly before a regular saving contribution is due to be collected, we may not be able to stop the collection in time. It is recommended that you also contact your bank to cancel the direct debit.

5. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

- (i) I/We have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.
- (ii) I am/We are 18 years of age or older.
- (iii) Any intermediary named in section 4 on this application form shall be entitled to share commission and to give instructions and receive documentation on my/our behalf during the life of this investment unless I/we instruct you to the contrary in writing.
- (iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signature (first named investor)	Date
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Signature (second named investor)	Date
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Switching Form for a Junior Individual Savings Account (JISA)

This form should be used if you wish to change your current fund choice.

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Registered contact (parent or guardian)		Child	
Account number		Title	
Title		Forename(s)	
Forename(s)		Surname	
Surname		Date of birth	
Address		Address	
Postcode		Postode	
Tel no. (incl area code)		National Insurance Number	

If you do not have a National Insurance Number, please tick here

2. SWITCH INSTRUCTIONS

For full or partial switches the value of the new or existing fund should not be below the minimum limit of £1000 per fund at the time of switching. The switch is to be made from the child's JISA.

Switch from: enter below your existing fund name(s) – If you want to switch the entire fund enter 100%

Fund name	Share type (Accumulation)	Enter % to be switched from			
				. 0 0	%
				. 0 0	%
				. 0 0	%

Switch to: enter below your new fund name(s) and the percentage of the total proceeds to be switched into the fund(s) e.g. if one fund enter 100% or if two funds enter a combination that adds up to 100%.

Fund name	Share type (Accumulation)*	Enter % to be switched to			
				. 0 0	%
				. 0 0	%
				. 0 0	%
If more than one fund, the combined total must add up to		1	0	0	. 0 0 %

Please note funds will be switched into the same share class

For a full list of Neptune funds, please visit www.neptunefunds.com

3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. DIRECT DEBIT (MONTHLY REGULAR SAVERS ONLY)

I/We wish to continue my/our monthly regular savings contributions into the new fund

OR

I/We wish to cancel my/our monthly regular savings contribution.

Please note: if neither box is ticked the regular savings facility will continue as per the existing terms. If we receive this form shortly before a regular saving contribution is due to be collected, we may not be able to stop the collection in time. It is recommended that you also contact your bank to cancel the direct debit.

5. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

- (i) I/We have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.
- (ii) I am/We are 18 years of age or older.
- (iii) Any intermediary named in section 4 on this application form shall be entitled to share commission and to give instructions and receive documentation on my/our behalf during the life of this investment unless I/we instruct you to the contrary in writing.
- (iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signature: registered contact (parent or guardian)	Date
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Top-up form

Topping-up your existing OEIC investment or Neptune Stocks and Shares ISA

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please complete the details below for each registered investor. You may have up to four holders for each investment. Please send additional investor details on a separate sheet.

Please tick if you are an existing Neptune investor

Account number		Account designation	
Investor 1		Investor 2	
Title		Title	
Forename(s)		Forename(s)	
Surname		Surname	
Date of birth		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		Tel no. (incl area code)	

2. TOP-UP INSTRUCTIONS (A SEPARATE FORM IS REQUIRED FOR EACH PRODUCT)

Please tick one box to let us know which Investment product you wish to top-up.

OEIC Stocks and Shares ISA* for tax year April 20___

Fund choice (please insert full name of fund(s))

Fund & share/unit class	Top-up amount
	£
	£
The total in this box should add up to your top-up payment	£

*Please refer to the Supplementary Information Document (SID), Neptune's website www.neptunefunds.com or call 0800 587 5051 (+44 (0)1268 443 920) for details on the minimum top-up required for each respective share/unit class.

3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. PAYMENT DETAILS

Please make cheques payable to Neptune Investment Management Limited.

I/We the account holder(s) enclose a cheque for:	£
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Cheque third party payments For an ISA top-up, payment by cheque can only be accepted from a third party if that person is a close family member (this would include parent/spouse/sibling/grandparents). In all other cases payment by cheque must be drawn on your own (or joint) personal bank account. Where payment is by building society cheque or banker's draft, it must be certified on the back, with details of your account to show that payment is being made from your own (or joint) personal bank account. For an OEIC or unit trust investment top-up if payment is being provided by a person other than the account holder(s), then that person must attach further information to this form which must include their full name, permanent address and date of birth. Failure to do so may delay the application.

5. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

- (i) I/We have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.
- (ii) I am/We are 18 years of age or older.
- (iii) Any intermediary named in section 4 on this application form shall be entitled to share commission and to give instructions and receive documentation on my/our behalf during the life of this investment unless I/we instruct you to the contrary in writing.
- (iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

3. DECLARATION

Beneficial owner

“Beneficial owner”: means the person or entity for whose benefit the investment is ultimately acquired, held and/or redeemed.

Private applicants only (Non-private applicants please see below) (if on the same application form)

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

Name	
Title	
Permanent residential address	
Date of birth	

Beneficial owner 2

Name	
Title	
Permanent residential address	
Date of birth	

Beneficial owner 3

Name	
Title	
Permanent residential address	
Date of birth	

Beneficial owner 4

Name	
Title	
Permanent residential address	
Date of birth	

Declaration

All beneficial owners and other associated parties are know to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and money laundering verification provisions as outlined in the terms and conditions.

Applicant's signature	Date
Applicant's signature	Date

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signed (first named investor)	Date
Signed (second named investor)	Date

Top-up Form for a Junior Individual Savings Account (JISA)

Topping-up your Neptune Stocks & Shares JISA

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Registered contact (parent or guardian)	Child
Account Number	Title
Title	Forename(s)
Forename(s)	Surname
Surname	Date of birth
Address	Address
Postcode	Postcode
Tel No. (incl area code)	National Insurance Number

If you do not have a National Insurance Number, please tick here

2. TOP-UP INSTRUCTIONS (A SEPARATE FORM IS REQUIRED FOR EACH PRODUCT)

Fund choice (please insert full name of fund(s))

Top-up for tax year 20__

Fund & share/ unit class	Top-up amount
	£
	£
The total in this box should add up to your top-up payment	£

*Please refer to the Supplementary Information Document (SID), Neptune's website www.neptunefunds.com or call 0800 587 5051 (+44 (0)1268 443 920) for details on the minimum top-up required for each respective share/unit class.

3. INTERMEDIARY'S DETAILS

If you have received advice from a financial adviser, please ask your adviser to complete their details below. By completing these details and by placing business with us, financial advisers are confirming that they have received, read, understood and are bound by our Terms of Business.

Intermediary number		Address	
Consultant's name			
Company name			
		Postcode	
Special terms		Tel no. (incl area code)	
		Email	

If you have not received advice from a financial adviser, please tick here.

4. PAYMENT DETAILS

Payment by cheque Please make cheques payable to Neptune Investment Management Limited.

I/We the account holder(s) enclose a cheque for:	£
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For a JISA top-up third party payments can be accepted however these cannot be from a business account. We reserve the right to request anti-money laundering documentation at our discretion.

5. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/ We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

The child named in section 1 will remain the beneficial owner of this account.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

(i) I have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.

(ii) i) I am the child or I have parental responsibility for the child; ii) I am the registered contact for the JISA.

(iii) Any intermediary named in section 4 on this application form shall be entitled to share commission and to give instructions and receive documentation on the child's behalf during the life of this investment unless I instruct you to the contrary in writing.

(iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signature: registered contact (parent or guardian)	Date
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Direct Debit amendment form

Application form for amending your monthly Regular Savings Plan

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please complete the details below for each registered investor. You may have up to four holders for each investment. Please send additional investor details on a separate sheet.

Please tick if you are an existing Neptune investor

Account number		Account designation	
Investor 1		Investor 2	
Title		Title	
Forename(s)		Forename(s)	
Surname		Surname	
Date of birth		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		Tel no. (incl area code)	

2. DIRECT DEBIT AMENDMENT DETAILS

Fund name	Share class	Share/ unit type	Existing regular monthly savings	New regular monthly savings
			£ per month	£ per month
Total per month				

3. DECLARATION

The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.

I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

(i) I/We have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.

(ii) I am/We are 18 years of age or older.

(iii) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

(iv) I am/we are aware that Neptune requires 7 working days notice prior to collection date for your direct debit to be amended.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signature (first named investor)	Date
Signature (second named investor)	Date

Direct Debit amendment form for a Junior Individual Savings Account (JISA)

Application form for amending your monthly Regular Savings Plan

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

1. PERSONAL DETAILS

Please tick if you are an existing Neptune investor

Registered contact (parent or guardian)		Child	
Account number		Title	
Title		Forename(s)	
Forename(s)		Surname	
Surname		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		National Insurance Number	

If you do not have a National Insurance Number, please tick here

2. DIRECT DEBIT AMENDMENT DETAILS

Fund name	Share class	Share/ unit type	Existing regular monthly savings	New regular monthly savings
			£ per month	£ per month
Total per month				

3. DECLARATION

- The shares in Neptune funds have not and will not be offered for sale in the United States of America and all areas subject to its jurisdiction, or to United States persons. I/We warrant that I/We are not resident in the United States of America or within an area subject to its jurisdictions nor am I/are we a United States person. Kindly acknowledge your agreement and compliance with this exclusion by ticking the box.
- I/We confirm agreement to all client money obligations and requirements as detailed in the latest version of the Neptune Investment Management Prospectus.

The child named in section 1 will remain the beneficial owner of this account.

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.

By signing below you are confirming that:

- (i) I have received and read the latest Key Investor Information Document (KIID) These are important as they form a summary of the basis on which the service is provided.
- (ii) i) I am the child or I have parental responsibility for the child; ii) I am the registered contact for the JISA.
- (iii) Any intermediary named in section 4 on this application form shall be entitled to share commission and to give instructions and receive documentation on the child's behalf during the life of this investment unless I instruct you to the contrary in writing.
- (iv) Neptune Investment Management reserves the right to give notice to request a transfer of the shares, or to redeem or cancel the shares, 30 days after giving notice to the shareholder, held by any shareholder that is or that subsequently becomes incorporated in the United States or is or becomes a United States person or resident.

On signing this declaration you acknowledge that you have read the latest Key Investor Information Document (KIID) for the fund and relevant share class in which you want to invest. This must be read prior to an investment in this Neptune fund. If you have not read the correct KIID, it is available on our website www.neptunefunds.com or can be obtained by calling 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

Signature: registered contact (parent or guardian)	Date
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Junior Individual Savings Account (JISA)

Change of registered contact

Please complete this form in blue or black ink using capital letters.

Please send your completed application form to: Neptune Investment Management Ltd, PO Box 9004, Chelmsford CM99 2WR. Cheques should be made payable to Neptune Investment Management Ltd. If you have any queries, please call 0800 587 5051 (or +44 (0)1268 443 920 for international clients); lines are open 9am to 5pm (UK time) each business day. For your protection calls may be recorded and monitored.

Your personal details must be completed in full. If this application is not correctly completed it will be returned to you and this will delay the processing of your application.

Literature for blind and partially sighted customers

If you require this literature in a different format please contact us on the details above and we will endeavour to provide documentation to meet your needs.

INFORMATION

This form allows you to become a registered contact for a child’s Junior Individual Savings Account (JISA)

1. DETAILS

Applicant’s details		Child’s details	
Account number		Title	
Title		Forename(s)	
Forename(s)		Surname	
Surname		Date of birth	
Address		Address	
Postcode		Postcode	
Tel no. (incl area code)		National Insurance Number	

I am the child named above and I am applying to become the registered contact for my own JISA.

If you do not have a National Insurance Number, please tick here

If you would like to receive updates from Neptune via email, including fund information and market views, please provide your email address below. Please note in providing your email address you are agreeing to Neptune contacting you with marketing information via email.

I am applying to become the new registered contact for the child named above. The existing registered contact has given their consent to this change by signing below.

If the current registered contact is unable to provide their signature, or there are other exceptional reasons, please contact us on 0800 587 5051 (or +44 (0)1268 443 920 for international clients).

2. DECLARATION

Current registered contact

To be completed where the new registered contact is not the child.

I hereby agree to the change of registered contact described above.

Name

Signature

Date

New registered contact

I declare that:

- I am 16 years of age or over
- I am the child or I have parental responsibility for the child
- I will be the registered contact for this JISA

I authorise Neptune Investment Management Ltd to hold the child's cash subscriptions, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on the child's behalf any claims to relief from tax in respect of JISA investments.

Signature

Date

April 2019