

# Premier Funds

## Application form



### Please read before completing the application form

- Please complete this form in BLOCK CAPITALS, using BLUE or BLACK INK and return it to your financial adviser, or to:  
**Premier Portfolio Managers Limited, PO Box 3733, Royal Wootton Bassett, Swindon SN4 4BG.**
- All cheques should be drawn on a bank account held in one or more of the applicants' names and payable to:  
**Premier Portfolio Managers Limited.**
- If you wish to open an Individual Savings Account (ISA), please complete the Premier Funds ISA Application Form.
- If there are more than two applicants, please photocopy sections 1, 6, 8, 9 and 10 before completing.
- Where "I" is used in this Application Form, it refers to each of the signatories in section 1 below, and the Declaration in section 9 is made by each signatory on behalf of both signatories.
- If the application is for a SIPP investment, please ensure that the SIPP Trustee is shown as the 1st Applicant/Trustee.

#### Important:

Please read the **Key Investor Information Document** and the **Supplementary Information Document** for the relevant share class of the fund(s) you wish to invest in. Copies are available on our website [www.premierfunds.co.uk](http://www.premierfunds.co.uk), by calling 01483 306090 or emailing [investorservices@premierfunds.co.uk](mailto:investorservices@premierfunds.co.uk)

## 1. Personal details

If you are an existing Premier account holder, please quote your reference number:

**1st Applicant/Trustee** Title: \_\_\_\_\_ First name: \_\_\_\_\_ Middle name(s): \_\_\_\_\_

Surname (family name): \_\_\_\_\_

Permanent residential address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Telephone numbers (inc STD code): Home: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email address: \_\_\_\_\_

Date of birth (DD/MM/YYYY):

Place and country of birth: \_\_\_\_\_

Please provide your own personal security question and answer which will be required each time you telephone for information on your account (for example "what was the name of my first school", "what is my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?")

Security question: \_\_\_\_\_

Security answer: \_\_\_\_\_

**2nd Applicant/Trustee** Title: \_\_\_\_\_ First name: \_\_\_\_\_ Middle name(s): \_\_\_\_\_

Surname (family name): \_\_\_\_\_

Permanent residential address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Telephone numbers (inc STD code): Home: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email address: \_\_\_\_\_

Date of birth (DD/MM/YYYY):

Place and country of birth: \_\_\_\_\_

Please provide your own personal security question and answer which will be required each time you telephone for information on your account (for example "what was the name of my first school", "what is my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?")

Security question: \_\_\_\_\_

Security answer: \_\_\_\_\_

**Additional registration information**

**Designation** If you wish, you can add a designation to help identify your account (maximum 15 characters):

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Is this application being made on behalf of a trust? Yes  No

If yes, please confirm the name and nature of the trust and ensure that a certified copy of the original trust deed and any subsequent deeds are included with your application.

Trust name: \_\_\_\_\_

Nature and purchase of trust: \_\_\_\_\_

## 2. Investment advice

Please indicate whether you have received advice from a financial adviser on this investment and provide their details.

Premier Portfolio Managers Limited will not pay commission to any financial adviser or facilitate adviser charging in respect of this investment if you have received advice.

I have received advice from the following financial adviser  **To be completed by your financial adviser.**

Company: \_\_\_\_\_ Financial adviser stamp

Address: \_\_\_\_\_

\_\_\_\_\_

I have not received advice from a financial adviser

FCA number: \_\_\_\_\_

## 3. Fund choice

Please choose which fund you wish to invest in and insert an amount in the appropriate box(es). You can invest with a lump sum in Class A, B or C shares and/or monthly contributions in share classes as below. If you have not been advised, and have agreed that your financial adviser can receive commission, you may only select funds with class A shares. Otherwise you will be allocated the available share class relevant for the amount you are investing.

### Minimum investment

Premier Defensive Growth, Premier Diversified Balanced Growth, Premier Diversified Cautious Growth, Premier Diversified Dynamic Growth, Premier Diversified Growth\*, Premier Diversified Income\*, Premier UK Money Market\* and Premier Multi-Asset Global Growth funds:

(Please note that these funds do not offer class A shares)

Class B Shares: £1,000 lump sum, £50 monthly contributions per fund

Class C Shares: £250,000 lump sum

\*Only B shares

### All other funds:

Class A Shares: £1,000 lump sum, £50 monthly contributions per fund

Class B Shares: £50,000 lump sum

Class C Shares: £250,000 lump sum

### Monthly contributions (not available for Premier UK Money Market Fund)

Monthly contributions must be rounded in £10 amounts. If you have chosen monthly contributions, please complete the direct debit instructions in section 7. Contributions will be collected on the first working day of the month.

For some Funds, you have a choice of accumulation or income shares. These are defined as follows:

**Accumulation shares:** Your share of the net income of the fund is automatically reinvested on your behalf. The amount of the reinvested income is reflected in the increased price of each accumulation share.

**Income shares:** Your share of the net income of the fund is paid to you in cash unless you have elected to reinvest the income, whereby additional shares will be purchased using the income. If you have chosen income shares, please complete section 5.

Please select your required fund/s from the following:

Premier Funds	Accumulation Shares		Income Shares	
	Lump sum	Monthly contributions	Lump sum	Monthly contributions
Premier Corporate Bond Monthly Income Fund	Not available		£	£
Premier Defensive Growth Fund	Not available		£	£
Premier Diversified Balanced Growth Fund	Not available		£	£
Premier Diversified Cautious Growth Fund	Not available		£	£
Premier Diversified Dynamic Growth Fund	Not available		£	£
Premier Diversified Growth Fund	Not available		£	£
Premier Diversified Income Fund	Not available		£	£
Premier Ethical Fund	£	£	£	£
Premier Global Alpha Growth Fund	£	£	£	£
Premier Global Infrastructure Income Fund	Not available		£	£
Premier Global Optimum Income Fund	Not available		£	£
Premier Income Fund	Not available		£	£
Premier Liberation No. IV Fund	£	£	Not available	
Premier Liberation No. V Fund	£	£	Not available	
Premier Liberation No. VI Fund	£	£	Not available	
Premier Liberation No. VII Fund	£	£	Not available	
Premier Multi-Asset Absolute Return Fund	£	£	Not available	
Premier Multi-Asset Conservative Growth Fund	£	£	Not available	
Premier Multi-Asset Distribution Fund	£	£	£	£
Premier Multi-Asset Global Growth Fund	Not available		£	£
Premier Multi-Asset Growth and Income Fund	£	£	£	£
Premier Multi-Asset Monthly Income Fund	£	£	£	£
Premier Monthly Income Fund	Not available		£	£
Premier Optimum Income Fund	£	£	£	£
Premier Pan European Property Share Fund	£	£	£	£
Premier UK Growth Fund	Not available		£	£
Premier UK Money Market Fund	£	Not available	£	Not available
Total	£	£	£	£

#### 4. Bank/Building Society details for payments to you

Please complete your account details below in order that we can make any income payments or redemption payments to your bank or building society. In order to verify the account, we require EITHER: an original voided cheque; an original paying in slip; A bank statement not older than six months, either an original or a copy certified by an appropriate person (solicitor, accountant or your bank/building society manager). Internet based bank statements are not acceptable.

Please inform us if you change your bank account, as you will need to provide new evidence so we can verify the account.

Bank/Building Society: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Name of account to be credited: \_\_\_\_\_

Sort code:

Bank/Building Society account number:

Building Society reference or roll number:

#### 5. Income payments (does not apply to Accumulation Shares)

Please choose how you would like to receive any income generated from your investment. If you do not tick either of these boxes, your net income will automatically be reinvested.

Income sent direct to your bank/building society  Please ensure that you complete your bank account details in section 4.

Income reinvested to purchase more shares

#### 6. Tax residency self-certification (please provide for all applicants)

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account with HMRC. Please complete all relevant sections as directed. If you have any questions about the information requested please consult your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

##### 1. Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated tax reference numbers. If you are a resident in a crown dependency, please record which one (Jersey, Guernsey or Isle of Man). Investment by US citizens or residents is not permitted.

Country/Countries of Tax Residency	Tax Reference Number	
	1st Applicant/Trustee	2nd Applicant/Trustee

##### 2. Organisation's classification under applicable tax regulations

A. If the organisation is **not** a specified person in the country stated above, please tick this box

B. Classification

2.1	UK Financial Institution or a Partner Jurisdiction Financial Institution	
2.2	Participating Foreign Financial Institution	
2.3	Non-Participating Foreign Financial Institution	
2.4	Financial Institution resident in the USA or in a US Territory	
2.5	Deemed Compliant Foreign Financial Institution (besides those listed above)	
2.6	Exempt Beneficial Owner	
2.7	Active Non-Financial Entity	
2.8	Passive Non-Financial Entity (PNFE)	
2.9	Professionally managed investment entity participating jurisdiction	
3.0	Professionally managed investment entity non participating jurisdiction	

(An Investment Entity or PNFE will be required to submit individual tax residence self-certifications for each of its Controlling Persons)

C. If your organisation is a financial institution, please tick this box if it is an Investment Entity

## 7. Direct debit for regular savers - instruction to your Bank/Building Society to pay by direct debit

The bank account must be held in one or more of the applicant(s) name(s). Setting up a direct debit arrangement generally takes ten working days and therefore first collection will not take place until that time. If you close your investment account with Premier Asset Management, your direct debit instruction will also be terminated unless you instruct us otherwise in writing.



**Name and full postal address of your Bank or Building Society:**

To the Manager:

Bank/Building Society Address:

Postcode:

Name(s) of Account Holder(s):

Bank/Building Society Account Number:  Branch Sort Code:

Originator's Identification Number:

Premier Portfolio Managers' reference number (office use only)

Your instructions to the Bank/Building Society

Please pay Premier Portfolio 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 Premier Portfolio Managers Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signature 1:

Signature 2:

Date (DD/MM/YYYY):

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

This guarantee should be detached and retained by the Payee

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, Premier Portfolio Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Premier Portfolio 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 Premier Portfolio 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 Premier Portfolio 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.



## 8. Applicant identity verification

### Money Laundering Regulations 2017

Under these regulations there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity and date of birth. This will normally be a passport or similar form of identity check together with proof of address from a recent utility bill. Alternatively, electronic checking systems may be used to verify identity, including credit agencies which may keep a record of this information although this is only to verify your identity and will not affect your credit rating. The information you provide on your application form (or subsequently) will be held and processed by Premier Portfolio Managers Limited in accordance with the Data Protection Notice set out on the last page of this application form.

Do you have a financial adviser?

Yes, your financial adviser should complete section 10.

No, please complete the following Applicant Identity Verification section.

If you are investing directly without the services of a UK financial adviser we will need to verify your identity. We need to see certified copies\* of either your current passport or full driving licence, and a recent (within the last six months) bank statement or utility bill (not a mobile telephone bill) showing your current address. Copies printed from the internet cannot be accepted.

\*Copies must be certified by either a solicitor, accountant, or your bank/building society manager.

### 1st Applicant/Trustee

Please tick both boxes below to confirm that the relevant identity check documents are enclosed.

Proof of identity:  Copy of passport or full driving licence (If you do not have a current passport/full driving licence, please contact us on 0333 456 6363 to discuss other documentation which may be acceptable as proof of identity.)

Proof of address:  Bank statement or utility bill

If certified copies are included with this application pack, please complete the following details for the person(s) certifying the documents (continue on a separate sheet if necessary):

Certified by:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Occupation: \_\_\_\_\_

Telephone number: \_\_\_\_\_

### 2nd Applicant/Trustee

Please tick both boxes below to confirm that the relevant identity check documents are enclosed.

Proof of identity:  Copy of passport or full driving licence (If you do not have a current passport/full driving licence, please contact us on 0333 456 6363 to discuss other documentation which may be acceptable as proof of identity.)

Proof of address:  Bank statement or utility bill

If certified copies are included with this application pack, please complete the following details for the person(s) certifying the documents (continue on a separate sheet if necessary):

Certified by:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Occupation: \_\_\_\_\_

Telephone number: \_\_\_\_\_





This application form, along with the relevant Prospectus, Key Investor Information Document and Supplementary Information Document each as amended from time to time, forms the agreement upon which Premier Portfolio Managers Limited intends to rely and will govern all sums invested now and in the future unless the parties agree otherwise in writing. The current version of each document will be available on our website [premierfunds.co.uk](http://premierfunds.co.uk). 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.

## 9. The Declaration and Authority

In the section below, 'I' refers to each signatory.

I apply to make the investment(s) in the Fund(s) specified and confirm that I have received financial advice/not received financial advice (delete as appropriate). I enclose a cheque(s) for the amount(s) stated in section 3 made payable to Premier Portfolio Managers Limited.

I authorise Premier Portfolio Managers Limited to make any income payments, as instructed in section 5, and/or redemption payments to the bank or building society shown in section 4. Premier Portfolio Managers Limited does not accept any responsibility for the quotation of building society account numbers and the quotation of any such number(s) is entirely at the risk of the investor.

I understand that Premier Portfolio Managers Limited is utilising the delivery versus payment exemption for the purpose of settling a transaction in relation to units in a regulated collective investment scheme and therefore my money may not be treated as client money for the period up to the close of business on the business day following the date of receipt of the money.

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 Premier Portfolio Managers Limited immediately in the event the information in relation to tax residency changes.

I understand that this information will be processed by you in the setting up and administration of my investment(s) and that where a financial adviser acts on my behalf, Premier Portfolio Managers Limited will disclose information concerning my investment to that financial adviser.

I have read and understand the Data Protection Notice set out on this application form.

I declare that I am aged 18 years old or older.

### Declaration for Trustees:

We appoint Premier Portfolio Managers Limited under the power and authority given to us by the Trust Deed and we delegate to Premier Portfolio Managers Limited (and authorise them to sub-delegate) the investment of the Trust property delivered to Premier Portfolio Managers Limited from time to time on the terms described in the relevant Fund Key Investor Information Document and Supplementary Information Document. We hereby represent and warrant that we are empowered by the said Trust Deed to delegate our function in the manner described above.

On signing this declaration, I confirm that I have read the latest Key Investor Information Document and Supplementary Information Document for the relevant share class of the Fund/s I apply to invest into and agree to be bound by them.

**1st Applicant Signature:**

Date:

**2nd Applicant Signature:**

Date:

Note:

We may only accept Powers of Attorney (original or certified copy) due to physical or mental incapacity. For physical incapacity it must be accompanied by a written declaration by the person signing the application. A draft declaration can be obtained from Premier Portfolio Managers Limited. In the case of mental incapacity, the Power of Attorney must be registered and stamped by the Office of the Public Guardian.

If the application is for a trust investment, we may need to verify the identity of all trustees, depending on the Trust Deed. Please enclose the Trust Deed and signatory list with this application.

## Data Protection Notice

*This notice sets out how Premier Portfolio Managers Limited ("PPM", "we" or "us") will process personal information (as a Data Controller)*

Where your details are provided to PPM as a consequence of your investment in the Premier funds (the "Funds"), then PPM, acting as a data controller may itself (or through a third party such as Northern Trust Global Services SE (the "**Administrator**") acting in its capacity as the Funds' administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as a data controller. In connection with this, please note the following:

### Purposes of Processing and Legal basis for processing

Your personal data may be processed on behalf of the Funds by PPM or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- to facilitate the opening of your account with PPM, the management and administration of your holdings in the Funds and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;

- in order to carry out anti-money laundering checks and related actions which PPM considers appropriate to meet any legal obligations imposed on PPM or the Funds relating to, or the processing in the public interest or to pursue PPM or the Funds' legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with PPM's and the Administrator's anti-money laundering procedures;
- to report tax related information to tax authorities in order to comply with a legal obligation;
- to monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend PPM or the Funds and its affiliates', itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on PPM or the Funds, (v) to pursue PPM's or the Funds' legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- to disclose information to other third parties such as service providers of PPM or the Funds, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on PPM or the Funds or in order to pursue the legitimate interests of PPM or the Funds;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of PPM or the Funds to improve service delivery;
- to update and maintain records and fee calculation;
- to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests;

and which are necessary to comply with the Funds', PPM's or the Administrator's legal obligations and/or which are necessary for the Funds', PPM's or the Administrator's legitimate interests indicated above and/or the processing is in the public interest.

#### **Recipients of Data and International Transfer of Data**

We may disclose your personal information as follows:

- to the Funds' service providers, including the Administrator, and their affiliates, and other third party service providers engaged in order to process the data for the above mentioned purposes; and
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting;

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (**EEA**) in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. We have authorised the Administrator as our agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact us and we will contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Funds.

#### **Retention period**

We and the Administrator will retain your personal information for as long as required for the Funds, us or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate the retention of your personal information.

#### **Data Subject Rights**

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where we or the Administrator require your personal information to comply with AML or other legal requirements, failure to provide this information means we may not be able to accept you as an investor in the Funds.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by us or the Administrators or our service providers infringes the General Data Protection Regulation. In the UK this would be the Information Commissioner's Office.

#### **How to contact us**

If you have any questions about our use of your personal information, please contact us at [investorservices@premierfunds.co.uk](mailto:investorservices@premierfunds.co.uk) or in writing to the Data Protection Officer at Premier Portfolio Managers Limited at Eastgate Court, High Street, Guildford, Surrey, GU1 3DE.

## 10. Identity verification - to be completed by your financial adviser

Financial advisers, please complete the following section

1st Applicant/Trustee: \_\_\_\_\_

Date of commencement of business relationship (DD/MM/YYYY):

I certify that: (please tick as appropriate)

- I have verified the identity of the Applicant in accordance with the Money Laundering Regulations 2017 and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name, address and date of birth as shown in section 1 are correct AND the details of the underlying records of identity are as described below:

Certified copy attached

Proof of identity:  Copy of passport or full driving licence

Proof of address:  Bank statement or utility bill (not older than 6 months)  
Internet based bank statements and utility bills are not acceptable.

OR

- I have not verified the identity of the Applicant for the following reason: \_\_\_\_\_

- I confirm that the Applicant is applying on his/her own behalf and not as nominee or in a fiduciary capacity for any other person.

Financial adviser signature: \_\_\_\_\_ Date (DD/MM/YYYY):

Financial adviser/Consultant name: \_\_\_\_\_

Company name: \_\_\_\_\_

2nd Applicant/Trustee: \_\_\_\_\_

Date of commencement of business relationship (DD/MM/YYYY):

I certify that: (please tick as appropriate)

- I have verified the identity of the Applicant in accordance with the Money Laundering Regulations 2017 and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name, address and date of birth as shown in section 1 are correct AND the details of the underlying records of identity are as described below:

Certified copy attached

Proof of identity:  Copy of passport or full driving licence

Proof of address:  Bank statement or utility bill (not older than 6 months)  
Internet based bank statements and utility bills are not acceptable.

OR

- I have not verified the identity of the Applicant for the following reason: \_\_\_\_\_

- I confirm that the Applicant is applying on his/her own behalf and not as nominee or in a fiduciary capacity for any other person.

Financial adviser signature: \_\_\_\_\_ Date (DD/MM/YYYY):

Financial adviser/Consultant name: \_\_\_\_\_

Company name: \_\_\_\_\_

### ADMINISTRATION QUERIES

For any administration queries, you can contact us at:

Premier Portfolio Managers Limited, PO Box 3733, Royal Wootton Bassett, Swindon SN4 4BG.

Tel: 0333 456 6363

Email: [investorservices@premierfunds.co.uk](mailto:investorservices@premierfunds.co.uk)

Web: [premierfunds.co.uk](http://premierfunds.co.uk)

For your protection, calls may be monitored and recorded for training and quality assurance purposes. Issued by Premier Asset Management. Premier Fund Managers Limited (registered no. 02274227) and Premier Portfolio Managers Limited (registered no. 01235867) are authorised and regulated by the Financial Conduct Authority. Registered address: Eastgate Court, High Street, Guildford, GU1 3DE. Premier Asset Management is the marketing name used for the two companies. 27021915083