

FP Octopus Investments UCITS Funds OEIC and Stocks and Shares ISA Application Forms

For completion by the introducing intermediary
(if applicable)

<input type="checkbox"/>	Advised Investment*
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<input type="checkbox"/>	Non-advised Investment*
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*Please tick as appropriate



FOR A DIRECT INVESTMENT

If you wish to make a direct investment into the FP Octopus Investments please complete the “OEIC Application Form” on pages 3 to 17.

Please ensure you complete the OEIC application form fully, including:

- Signing the “Declaration” on page 9, having read the terms and conditions;
- The “Politically Exposed Person” section on pages 10 to 12;
- The “Self-Certification for Individuals” or “Self-Certification for Entities” section, as applicable by disclosing your classification following the guidance on pages 13 to 17;
- Finally, please read the checklist entitled “Please make sure you have” on page 24.

If you have elected to take up a monthly savings plan, please also complete and return the Direct Debit mandate to us which may be found at the back of this application form.

Please return your completed application form (and cheque, if applicable) to: FundRock Partners Limited – Octopus, PO Box 10359, Chelmsford, CM99 2AW

FOR INVESTMENTS IN A STOCKS & SHARES ISA

If you wish to invest in FP Octopus Investments through a Stocks & Shares ISA, please complete the “Stocks & Shares ISA Application Form” on pages 18 to 23.

Please ensure you complete the Stocks & Shares ISA application form fully, including:

- Signing the “Declaration” on page 22, having read the terms and conditions;
- The “Politically Exposed Person” section on page 23;
- Finally, please read the checklist entitled “Please make sure you have” on page 24.

If you have elected to take up a monthly savings plan, please also complete and return the Direct Debit mandate to us which may be found at the back of this application form.

Please return your completed application form (and cheque) to: FundRock Partners Limited – Octopus, PO Box 10359, Chelmsford, CM99 2AW

OEIC Application Form

1. Investor Details (BLOCK CAPITALS please)

Please complete **section A** if you are an institutional investor (i.e. an intermediary) or **section B** if you are an individual. If you are investing jointly with other individuals, please complete **section 2** below.

A) Institutional investors

Company name
Registered Address
Postcode
Correspondence address (if different)
Postcode
Company registration number
FCA reference number
Designation (if applicable)
Telephone
Email address**

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

B) Individual investors

Shares cannot be registered in the name of a minor. Shares should be registered in the name of an adult and designated with the minor's initials (e.g. John Smith - account PBS). On attaining the age of majority, Shares can be transferred to the designee upon receipt of a completed stock transfer form and the appropriate documentation as required by such form.

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	
Designation (if applicable)	
Telephone (daytime)	
Email address**	

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

2. Personal details of Joint Applicant(s)

Additional joint applicants (a maximum of 3 in total) must sign and attach name and address details separately.

Joint applicant 1

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	
Registered name if not an individual (e.g. company name)	
Designation (if applicable)	
Telephone (daytime)	
Email address**	

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

Joint applicant 2

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	
Registered name if not an individual (e.g. company name)	
Designation (if applicable)	
Telephone (daytime)	
Email address**	

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

Joint applicant 3

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	
Registered name if not an individual (e.g. company name)	
Designation (if applicable)	
Telephone (daytime)	
Email address**	

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

3. Investment Details

Investors should read the prospectus of FP Octopus Investments UCITS Fund (the “**Company**”) (the “**Prospectus**”), as well as the UCITS Key Investor Information Document and Supplementary Information Document for the relevant sub-fund(s) (“**Fund**”) before making an investment decision. Your rights and duties as well as your legal relationship with the Company are set out in the Prospectus. For a copy of the Prospectus, please write to FundRock Partners Limited - Octopus, PO Box 10359, Chelmsford, CM99 2AW or visit www.fundrock.com for details of how you can contact us.

As we are not registered with the relevant authorities in the United States we cannot sell shares to people who are "US persons" being a person who falls within the definition of "US Person" as defined in rule 902 of regulation 5 of the United States Securities Act 1933.

Investors may invest either on a lump sum basis or via a regular savings plan for certain share classes. Please complete the relevant column below to indicate your investment preference in respect of the relevant share class of each Fund.

Fund	Share Class and Type (Minimum initial investment)	Lump Sum	Regular Monthly Savings Plan* (a minimum investment of £100 per month applies if you are investing in one Fund only. If you are investing in multiple Funds, the minimum investment per month is £50 per Fund and £100 per month overall (i.e. across all Funds)).
FP Octopus UK Future Generations Fund	C Class Accumulation GBP (£1,000)	£	£
	C Class Income GBP (£1,000)	£	£
	R Class Accumulation GBP (£10,000,000)	£	N/A

	R Class Income GBP (£10,000,000)	£	N/A
FP Octopus UK Micro Cap Growth Fund	P Class Accumulation GBP (£1,000)	£	£
	P Class Income GBP (£1,000)	£	N/A
	S Class Accumulation GBP (£10,000,000)	£	N/A
	S Class Income GBP (£10,000,000)	£	N/A
FP Octopus UK Multi Cap Income	I Class Accumulation GBP (£1,000)	£	£
	I Class Income GBP (£1,000)	£	£
	R Class Accumulation GBP (£10,000,000)	£	£
	R Class Income GBP (£10,000,000)	£	£
	Total Investment Amount	£	£

* Collection date for a regular monthly savings plan is the 10th of the month or the next business day if the 10th is not a business day.

4. Income Payments – to be completed if investing in Income Shares only.

Holders of Income Shares are entitled to be paid the distributable income attributed to those Shares on any relevant interim and annual allocation dates.

Income arising to your Income Shares will be paid as a Direct Credit directly into your bank or building society account, please therefore complete the bank account details below.

Please note that banks and building societies may not accept Direct Credits to some types of accounts.

If you have chosen Income shares and we do not have your bank details, you will automatically be issued with a cheque settlement.

Bank Account Details (used for income, distribution and redemption payments)										
Bank or Building Society										
Branch Title										
Name of Account Holder(s)										
Account Number										
Sort Code										
Building Society Roll Number (if applicable)										

5. Payment

Investment: A cheque made payable to "FundRock Partners Limited" should accompany the completed application or payment can be made via bank transfer to the following account:	
Bank	NatWest Bank, 1 Princes Street, London EC2R8PA
Sort Code	60-00-01
Account Number	39329917
Account Name	FundRock Partners Limited
Swift Address	NWBKGB2L
Ref	Investor Name

Please ensure that on your payment, a reference is quoted including the full investor name and account number (if known). Please also ensure that we receive the amount shown under investment details in Section 3 (after any applicable bank charges).

6. Cancellation Rights

If your investment was arranged through a financial advisor, cancellation rights may apply. In these circumstances you will have 14 calendar days from the date the cancellation form is received in which to exercise your right to cancel. Details of how you might exercise these rights will be sent to you with your contract note confirming the details of your investment. You are entitled to receive any money you have paid to us, subject to a deduction of the amount, if any, that the value of your investment has fallen at the time your cancellation form is received by us.

FundRock Partners Limited may extend cancellation rights to other investors but is under no obligation to do so.

7. Data Protection

The way in which we may use personal information of individuals ("personal data") is governed by the "**Data Protection Requirements**" which means all applicable data protection laws and regulations including, without limitation, (a) the General Data Protection Regulation (EU) 2016/679 ("**GDPR**"), (b) UK GDPR (as that term is defined by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019) and the Data Protection Act 2018, and (c) any legislation that supplements or replaces the foregoing in the United Kingdom. Further details on our privacy policy and your rights under the Data Protection Requirements can be found on our website: <https://www.fundrock.com/policies-and-compliance/privacy-policy/>.

Information we collect from you or from other sources and what we do with it:

We will collect and process the following data about you depending on how or why you interact or communicate with us (e.g., filling in an application form, subscribing for or redeeming Shares or when you communicate with us by email, telephone or otherwise):

- (1) Your name and title, address, date of birth, e-mail address and phone number or other contact information; your signature, your tax number or "national insurance number"; your banking details, credit or debit card information or other payment or financial information; information about transactions you make in relation to a Fund including your holding in a Fund or the reference number in relation to your holding; your personal description and your photograph.

We will use this information to open your account, maintain the Register; process subscriptions, redemptions and exchanges of Shares and payments of dividends; perform controls on excessive trading and market timing; comply with applicable anti-money laundering rules or anti-terrorist financing rules; or comply with our reporting obligations to regulatory bodies or tax authorities as well as our obligations under other applicable laws and regulations, monitor calls and electronic communications to process and verify of instructions, or for investigation and fraud prevention purposes.

The legal basis for this processing of your personal data is our legitimate interests, namely the proper administration of your investment, the operation of the Company by us, our delegates and the service providers in relation to a Fund or the Company; the performance of the contractual obligations between you as a Shareholder and us; to provide you with information, products and services that you request from us; to notify you about changes to our services or to a Fund or the Company; and to comply with applicable laws and regulations.

You have the right to refuse to give us your personal data in which case we may at our discretion and where your refusal necessarily prevents us from completing our checks, diligence or other legal, regulatory or confirmatory matters, refuse to issue Shares to you; refuse to pay the proceeds of a redemption of Shares; refuse to pay income on Shares; or compulsorily redeem your holding.

- (2) With regard to each of your visits to our website, we will automatically collect certain information about you or your computer. We will do so for administration purposes and to analyse the use of our website and services. Further details are available in the Prospectus and on our website.

The legal basis for this processing is our legitimate interests, namely monitoring and improving our website and services.

We will combine the information that you give us with information that we receive from other sources and use this for the purposes set out above (depending on the types of information we receive).

We may also use your personal data to establish, exercise or defend claims in order to protect or assert our legal rights, your legal rights or the legal rights of others, obtain or maintain insurance coverage, manage risks, or obtain professional advice in order to protect our business.

Disclosure of your information

We may disclose your personal data to any member of our group of companies; our insurers or professional advisers; service providers to the Funds or Company; our service providers, delegates, suppliers, contractors, sub-contractors or business partners and third parties with whom we contract; our auditors, our bank, competent authorities including the FCA, tax authorities, courts and other bodies for reporting or as otherwise required by law; technical advisers or analytics and search engine providers that assist us in the improvement and optimisation of our website; credit reference agencies or other risk management agencies; third parties that provide security, email security, data governance, archiving and other information technology support services; any third party that you ask us to share your personal data with.

We may disclose your personal data to third parties in the event we sell or purchase a business or assets; if we are acquired by a third party; in the event that we propose to retire as Authorised Corporate Director of the Company, in which case we may disclose your personal data to the intended new Authorised Corporate Director prior to, and at the time of, the transfer in order for the new Authorised Corporate Director and their delegates to make certain preparations; or where we are under a duty to disclose or share your personal data in order to comply with any legal or regulatory obligation; or in order to enforce or apply the terms of use of our website (which can be found on our website) and other agreements; or to protect our rights, property, or safety, or that of our customers, or others.

International transfers of your personal data

If we or our service providers need to share your personal data with a recipient outside the UK or the European Economic Area ("EEA"), we will ensure that appropriate safeguards are in place including: model clauses that have been approved by the European Commission or the Secretary of State; a code of conduct or other certified mechanisms such as binding contractual rules. ("**Safeguards**"). Your personal data may be transferred to third parties that we or our service providers use including certain banks that we or our service providers use or certain companies that provide certain services to our service providers such as the registrar of the Company. Such third parties include: a company located in India that provides operational support services, a company based in the USA that provides information technology security services, and a company based in the USA (but which has affiliates in multiple locations) that provides customer services software.

Retention and deletion of your personal data

We will not keep your personal data longer than is necessary for the purpose that we process it or for any purpose. We will generally retain your personal data for a minimum of 7 years, or for such period as is necessary for compliance with a legal obligation to which we are subject, or in order to protect your vital interests or the vital interests of another natural person.

Rights of an individual

As an individual, you have certain rights under the Data Protection Requirements. These include: (a) the right of access (b) the right to rectification (c) the right to erasure (d) the right to restrict processing (e) the right to object to processing (f) the right to data portability (g) the right to complain to a supervisory authority, and (h) the right to withdraw consent. Some of the rights are complex and only apply in specific circumstances. Further details are set out in the privacy policy published on our website.

Our details

You can contact us or our Data Protection Officer regarding the Data Protection Requirements or our privacy policy:

- (a) by post, to Hamilton Centre, Rodney Way, Chelmsford, England, CM1 3BY; or
- (b) by telephone (via the Administrator and Registrar), on +44 (0) 126 844 8634 or the contact number

published on our website from time to time; or

- (c) by email, to FP.Compliance@FundRock.com or the email address published on our website from time to time. Further information is available on our website.

8. Declaration

- I/We* apply to FundRock Partners Limited to invest in the FP Octopus Investments UCITS Fund.
- I/We* declare that this application form has been completed to the best of my/our* knowledge and belief. I/We* agree to inform FundRock Partners Limited by post to "FundRock Partners Limited - Octopus, PO Box 10359, Chelmsford, CM99 2AW" should any personal details set out in this form, including the details provided in Section 4, need updating.
- I/We* confirm that I/we* have received, read, and agree to the terms set out in the Prospectus, UCITS Key Investor Information Document and Supplementary Information Document for the relevant sub-fund(s) of the FP Octopus Investments UCITS Fund.
- I/We* enclose a cheque made payable to FundRock Partners Limited or will remit the money electronically for the lump sum amount to be invested and have completed the Direct Debit instruction for the first monthly payment.
- I/We* confirm that these monies are my/our* own and that I/we* are the beneficial owner(s) of this investment. If the investor is not the beneficial owner please complete the boxes below†.
- I/We* understand that you may require additional information from me/us* in accordance with applicable anti-money laundering regulations and I/we* acknowledge that electronic data sources may be used to check my/our* identity under such regulations.
- I am/We are* not a US Person (being a person who falls within the definition of "US Person" as defined in rule 902 of regulation 5 of the United States Securities Act 1933) and am/are* not applying for shares on behalf of a US Person. I/we* will notify FundRock Partners Limited immediately should my/our* status change.
- I/We* have read the data protection information contained in the Prospectus and in this document.
- I/We* consent to our shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.
- I/We* hereby acknowledge that when I/we* apply for shares in a fund there is a window of time between FundRock Partners Limited receiving subscription money from me/us* and FundRock Partners Limited transferring the subscription money to the Depositary (as defined in the Prospectus) to be used to settle the creation of my/our* shares. If FundRock Partners Limited transfers the subscription money to the Depositary, by the close of business on the Business Day (as defined in the Prospectus) following receipt, FundRock Partners Limited is permitted to use an exemption to the Financial Conduct Authority's client money rules (the "Client Money Rules") which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the subscription money to the Depositary outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules.
- Similarly, I/we* acknowledge that when I/we make a redemption request for shares in a fund there is a window of time between FundRock Partners Limited receiving redemption money from the Depositary and FundRock Partners Limited transferring the redemption money to me/us. If FundRock Partners Limited transfers the redemption money to me/us* by close of business on the Business Day following receipt, FundRock Partners Limited is permitted to use an exemption to the Client Money Rules which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the redemption money to me/us outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules until such time as it is paid to me/us*.
- Money which is not held as client money will not be protected in the event of the insolvency of FundRock Partners Limited and may be at risk. I/we* acknowledge that by agreeing to subscribe for shares in a fund, I/we* consent to FundRock Partners Limited operating the delivery versus payment exemption on subscriptions and redemptions as explained above.
- By signing this application form, I/we* consent to the transfer of any client money held by FundRock Partners Limited to a third party where FundRock Partners Limited decides to transfer all or part of its business to that third party in accordance with the Client Money Rules. In such circumstances the sums transferred will be held by the third party in accordance with the Client Money Rules, or FundRock Partners Limited will exercise all due skill, care and diligence in assessing whether the third party will apply adequate measures to protect these sums. I/we* acknowledge that by providing consent at this time neither FundRock Partners Limited nor the third party need obtain my prior consent to the specific transfer.

*PLEASE DELETE AS APPLICABLE

Please contact us if you have any queries regarding your US status.

First Applicant's Signature	Date
First Joint Applicant's Signature	Date
2nd Joint Applicant's Signature	Date
3rd Joint Applicant's Signature	Date

† if you are not the beneficial owner(s), please delete the bullet point regarding beneficial owners in the declaration, and complete the box(es) below with details of who the beneficial owner(s) is/are and also advise your relationship to such person(s). For corporate applicants, please give details of any unitholders or other individuals who ultimately control more than 25% of the voting rights or are entitled to more than 25% of the company's profits.

Beneficial Owner details:
Full Name:
Permanent Address
Postcode
Date of Birth

Beneficial Owner details:
Full Name:
Permanent Address
Postcode
Date of Birth

9. Politically Exposed Person

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I/We† represent and warrant that, to the best of our knowledge, none of the following persons:

- (1) the investor;
- (2) any person controlling or controlled by the investor;
- (3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- (4) any person for whom the investor is acting as agent or nominee in connection with this investment

is a politically exposed person, as defined in the footnotes below.

OR **CATEGORY B)**

I/We† confirm that I/we† meet the definition of a politically exposed person(s),* as defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

* **“politically exposed person” or “PEP”** means an individual:

- (i) who is or has, at any time in the preceding year, been entrusted with a prominent public function, including: (a) heads of state, heads of government, ministers and deputy or assistant ministers; (b) members of parliament or of similar legislative bodies; (c) members of the governing bodies of political parties; (d) members of supreme courts, of constitutional courts or of any judicial body the decisions of which are not subject to further appeal except in exceptional circumstances; (e) members of courts of auditors or of the boards of central banks; (f) ambassadors, charges d'affaires and high-ranking officers in the armed forces; (g) members of the administrative, management or supervisory bodies of state-owned enterprises; and (h) directors, deputy directors and members of the board or equivalent function of an international organisation;
- (ii) a family member of a person falling within (i) above, including: (a) a spouse or civil partner of such a person; (b) a child of such a person, or the spouse or civil partner of that child; and (c) a parent of such a person; or

(iii) a known close associate of a person falling within (i) above, including: (a) any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with such a person; and (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of such a person.

First Applicant's Name† (please print)	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>	First Joint Applicant's Name† (please print)	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>
First Applicant's Signature	Date <div style="border: 1px solid black; padding: 2px; display: flex; justify-content: space-around;"> DD MM 2 0 YY </div>	First Joint Applicant's Signature	Date <div style="border: 1px solid black; padding: 2px; display: flex; justify-content: space-around;"> DD MM 2 0 YY </div>
Second Joint Applicant's Name† (please print)	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>	Third Joint Applicant's Name† (please print)	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>
Second Joint Applicant's Signature	Date <div style="border: 1px solid black; padding: 2px; display: flex; justify-content: space-around;"> DD MM 2 0 YY </div>	Third Joint Applicant's Signature	Date <div style="border: 1px solid black; padding: 2px; display: flex; justify-content: space-around;"> DD MM 2 0 YY </div>

† If you are not the beneficial owner(s) please complete and sign the section overleaf.

9. Politically Exposed Person (continued from overleaf)

† if you are not the beneficial owner(s) please complete the box(es) below with details of who the beneficial owner(s) is/are. Please also tick the appropriate option to declare the beneficial owner's status according to the Politically Exposed Person terms on the previous page.

First Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>	Second Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) <input type="checkbox"/> or B) <input type="checkbox"/>																
First Beneficial Owner's Signature _____	Date <table border="1" style="width: 100%; text-align: center;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>2</td><td>0</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	2	0	Y	Y	Second Beneficial Owner's Signature _____	Date <table border="1" style="width: 100%; text-align: center;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>2</td><td>0</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	2	0	Y	Y
D	D	M	M	2	0	Y	Y												
D	D	M	M	2	0	Y	Y												

Self-Certification for Individuals¹

NOTE: Each individual named as an applicant on this application form must enclose a separate copy of this self-certification form for Individuals with the application form.

Entities (i.e. companies, charities constituted as corporate bodies, limited liability partnerships etc.) must complete the “Self-Certification for Entities” form which follows this page.

Tax Regulations³ require FundRock Partners Limited to collect certain information about each investor's tax residencies 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 on your account with HMRC. Information about you may also be transferred to the government of another territory in accordance with a relevant agreement.

Please complete all sections below as directed. If you have any questions about your classifications, please contact your tax adviser. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Section 1: Individual Tax Residency

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

Country/Countries of Tax Residency	Tax Reference Number

If you are not resident in any country for tax purposes, please tick this box:

Section 2: 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 FundRock Partners Limited immediately in the event the information in the self-certification changes.

Signature of Applicant:

Applicant's full name (please print):

Permanent Residential Address:

Date of Birth:

Self-Certification for Entities²

Tax Regulations³ 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 on your account with HMRC. Information about you may also be transferred to the government of another territory in accordance with a relevant agreement.

Please complete all sections below as directed. If you have any questions about your organisation's classifications, please see instructions or contact your tax advisor. Please see notes overleaf for key definitions. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Individuals (i.e. natural persons, including where the investment is to be registered into the names of individuals) must complete the "Self-Certification for Individuals" form on the previous page.

Section 1: Entity Tax Residency

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

1.1 Please state the country in which your organisation is resident for tax purposes:

1.2 Please provide us with your organisation's Tax Reference Number:

Section 2A: Organisation's classification under FATCA⁵

Please tick only one box with reference to the tax residency stated in box 1.1.

If your organisation is a Financial Institution⁶, please specify which type:

2.1	UK Financial Institution or a Partner Jurisdiction Financial Institution ⁶	
2.2	Participating Foreign Financial Institution (in a non-IGA jurisdiction) ⁶	
2.3	Non-Participating Foreign Financial Institution (in a non-IGA jurisdiction) ⁶	
2.4	Financial Institution resident in the USA or in a US Territory ⁶	
2.5	Exempt Beneficial Owner ⁷	
2.6	Deemed Compliant Foreign Financial Institution ⁶ (besides those listed above)	

If your organisation is not a Financial Institution⁶, please specify the entity's FATCA status below:

2.7	Active Non-Financial Foreign Entity ⁸	
2.8	Passive Non-Financial Foreign Entity ¹⁰ (If you tick this box, please include individual self-certification forms for each of your Controlling Persons ¹¹)	

Section 2B: Complete this *only* if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following (and therefore **not** a 'Specified US Person'):

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a member of the same expanded affiliated group as a corporation described in (i); the United States or any wholly owned agency or instrumentality thereof;
- any state of the United States, any US territory, any political subdivision or wholly owned agency or instrumentality of any one or more of the foregoing;
- any organisation exempt from taxation under section 501(a) of the U.S. Internal Revenue Code (the "Code") or certain individual retirement plans defined in section 7701(a) (37) of the Code;
- any bank as defined in section 581 of the Code;
- any real estate investment trust as defined in section 856 of the Code;
- any regulated investment company defined in section 851 of the Code or any entity registered with the US

Securities and Exchange Commission under the Investment Company Act of 1940;

- any common trust fund as defined in section 584(a) of the Code;
- any trust that is exempt from tax under section 664(c) of the Code or that is described in section 4947(a)(1) of the Code;
- a dealer in securities, commodities or derivative financial instruments that is registered as such under the laws of the United States or any state; or

a broker as defined in section 6045(c) of the Code.

Please continue to **Section 3** on the following page.

Self-Certification for Entities² (continued from overleaf)

Section 3: Organisation's classification under the Common Reporting Standard (CRS)¹⁴

Please tick one box only in this section with reference to the tax residency stated in box 1.1

3.1	Financial Institution ⁶ (this includes Non-Reporting Financial Institutions such as a pension scheme, government entity, international organisation and other entities).	
3.2	A professionally managed Investment Entity ¹² outside of a CRS Participating Jurisdiction (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons ¹¹)	
3.3	Active Non-Financial Entity ⁸ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation	
3.4	Active Non-Financial Entity ⁸ (other than those listed in 3.3 above)	
3.5	Passive Non-Financial Entity ¹⁰	

Section 4: Declaration for FATCA and CRS¹⁴

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 FundRock Partners Limited immediately in the event the information on this self-certification form changes (including any changes to Controlling Persons¹¹).

Signed by (please print name):

On behalf of (organisation name):

Position (in organisation):

Organisation address:

Country of Incorporation or Organisation:

Signature of person authorised to sign:

Date:

Notes

¹Individual

Means a natural person

²Entity

Mean a non-natural person and includes a corporate or unincorporated body (whether or not having separate legal personality). For example a company, charity, or partnership.

³Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA⁵, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

⁴Specified Person

The term "Specified Person" is defined by reference to local laws in the country where an entity is established. In the UK, a "Specified United Kingdom Person" means a person or entity who is resident in the United Kingdom for tax purposes, other than:

- i) a corporation the stock of which is regularly traded on one or more established securities markets;
- ii) any corporation that is a Related Entity¹³ of a corporation described in clause (i);
- iii) a Depository Institution;
- iv) a broker or dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom;
- v) a Governmental Entity;
- vi) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- vii) a Central Bank; or
- viii) a pension scheme or other arrangement registered with HMRC under Part 4 of the Finance Act 2004.

Similar definitions apply to entities in the US (defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK). **Entities in other jurisdictions should instead apply the similar definition of "Reportable Person" under the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.†**

⁵FATCA

The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US Hire Act 2010.

⁶Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity¹², or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK's Agreements to Improve International Tax Compliance. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

⁷Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- i) a Governmental Entity;
- ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- iii) a Central Bank; or
- iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

⁸Active Non-Financial Entity (NFE)

A NFE is any entity that is not a Financial Institution.

An Active NFE is any NFE that meets one of the following criteria:

- i) Less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- ii) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹³ of an entity, the stock of which is traded on an established securities market;
- iii) The NFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
- iv) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFE;
- v) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- vi) The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- vii) The NFE primarily engages in financing and hedging transactions with, or for Related Entities¹³ that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- viii) Entity is a Non-Profit Organisation⁹.

⁹Non-Profit Organisation

The term "Non-Profit Organisation" means an entity that meets ALL of the following criteria:

- i) It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- ii) It is exempt from income tax in its country of residence;
- iii) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- iv) The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- v) The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

¹⁰Passive Non-Financial Entity (NFE)

A Passive NFE is any NFE that is not an Active NFE⁸.

¹¹Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an entity. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

¹²Investment Entity†

The term "Investment Entity" means any entity:

- a. that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - ii) individual and collective portfolio management; or
 - iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- b. the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the entity is managed by another entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in (a) above.

An entity is treated as primarily conducting as a business one or more of the activities described in (a), or an entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for purposes of (b), if the entity's gross income attributable to the relevant activities equals or exceeds 50 per cent of the entity's gross income during the shorter of: (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or (ii) the period during which the Entity has been in existence. The term "Investment Entity" does not include an entity that is an Active NFE because it meets any of the criteria in (iv) to (vii) in the definition of Active NFE⁸ above.

¹³Related Entity

An entity is regarded as being related to another entity if one entity controls the other or the two entities are under common control - the "related entity group". For this purpose control is taken as including the direct or indirect ownership of more than 50 per cent of the vote and value in an entity.

¹⁴Common Reporting Standard

The information standard for automatic exchange of information (AEOI).

† Text is required for OECD CRS purposes only.

Stocks and Shares ISA Application Form

1. Personal Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Permanent Residential Address	
Postcode	
National Insurance Number*	
Telephone (daytime)	
Telephone (evening)	
Date of Birth	
Email address**	

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

*Your National Insurance Number (NINO), or National Pension Number and Date of Birth must be quoted. Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book.

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

2. Investment Details

I apply to subscribe for the following investment to the **FundRock Partners Stocks and Shares ISA** for the **20 / 20** tax year and for each subsequent tax year until further notice. *(PLEASE COMPLETE THE TAX YEAR)*

Please note that full information concerning the latest HMRC ISA rules and the maximum subscription for the current tax year can be found at www.gov.uk/individual-savings-accounts.*

Investors should read the prospectus of FP Octopus Investments UCITS Fund (the “**Company**”) (the “**Prospectus**”), as well as the UCITS Key Investor Information Document and Supplementary Information Document for the relevant sub-fund(s) (“**Fund**”) before making an investment decision. Your rights and duties as well as your legal relationship with the Company are set out in the Prospectus. For a copy of the Prospectus, please write to FundRock Partners Limited - Octopus, PO Box 10359, Chelmsford, CM99 2AW or visit www.fundrock.com for details of how you can contact us.

Investors may invest either on a lump sum basis or via a regular savings plan for certain share classes. Please complete the relevant column below as per your investment preference in respect of the relevant share class of each Fund.

Fund	Share Class and Type (Minimum initial investment)	Lump Sum	Regular Monthly Savings Plan* (a minimum investment of £100 per month applies if you are investing in one Fund only. If you are investing in multiple Funds, the minimum investment per month is £50 per Fund and £100 per month overall (i.e. across all Funds)).
FP Octopus UK Future Generations Fund	C Class Accumulation GBP (£1,000)	£	£
	C Class Income GBP (£1,000)	£	£
FP Octopus UK Micro Cap Growth Fund	P Class Accumulation GBP (£1,000)	£	£
	P Class Income GBP	£	N/A

Fund	Share Class and Type (Minimum initial investment)	Lump Sum	Regular Monthly Savings Plan* (a minimum investment of £100 per month applies if you are investing in one Fund only. If you are investing in multiple Funds, the minimum investment per month is £50 per Fund and £100 per month overall (i.e. across all Funds)).
	(£1,000)		
FP Octopus UK Multi Cap Income	I Class Accumulation GBP (£1,000)	£	£
	I Class Income GBP (£1,000)	£	£
	Total Investment Amount	£	£

* You can invest up to your ISA limit in a stocks and shares ISAs with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.

** Collection date for monthly savings is the 10th of the month or the next business day if the 10th is not a business day

3. Income Payments – to be completed if investing in Income Shares only.

Holders of Income Shares are entitled to be paid the distributable income attributed to those Shares on any relevant interim and annual allocation dates.

Income arising to your Income Shares will be paid as a Direct Credit directly into your bank or building society account, please therefore complete the bank account details below. Please note that banks and building societies may not accept Direct Credits to some types of accounts.

If you have chosen Income shares and we do not have your bank details, you will automatically be issued with a cheque settlement.

Bank Account Details (used for income, distribution and redemption payments)	
Bank or Building Society	
Branch Title	
Name of Account Holder(s)	
Account Number	
Sort Code	
Building Society Roll Number (if applicable)	

4. Payment

A cheque made payable to "FundRock Partners Limited" should accompany the completed application. Please ensure that a reference is quoted including the full investor name and account number (if known). Please also ensure that we receive the amount shown under investment details on page in Section 3 (after any applicable bank charges).

5. Cancellation Rights

If your investment was arranged through a financial advisor, cancellation rights may apply. In these circumstances you will have 14 calendar days from the date the cancellation form is received in which to exercise your right to cancel. Details of how you might exercise these rights will be sent to you with your contract note confirming the details of your investment. You are entitled to receive any money you have paid to us, subject to a deduction of the amount, if any, that the value of your investment has fallen at the time your cancellation form is received by us.

FundRock Partners Limited may extend cancellation rights to other investors but is under no obligation to do so.

6. Data Protection

The way in which we may use personal information of individuals (“personal data”) is governed by the “**Data Protection Requirements**” which means all applicable data protection laws and regulations including, without limitation, (a) the General Data Protection Regulation (EU) 2016/679 (“GDPR”), (b) UK GDPR (as that term is defined by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019) and the Data Protection Act 2018, and (c) any legislation that supplements or replaces the foregoing in the United Kingdom. Further details on our privacy policy and your rights under the Data Protection Requirements can be found on our website: <https://www.fundrock.com/policies-and-compliance/privacy-policy/>.

Information we collect from you or from other sources and what we do with it:

We will collect and process the following data about you depending on how or why you interact or communicate with us (e.g., filling in an application form, subscribing for or redeeming Shares or when you communicate with us by email, telephone or otherwise):

- (1) Your name and title, address, date of birth, e-mail address and phone number or other contact information; your signature, your tax number or “national insurance number”; your banking details, credit or debit card information or other payment or financial information; information about transactions you make in relation to a Fund including your holding in a Fund or the reference number in relation to your holding; your personal description and your photograph.

We will use this information to open your account, maintain the Register; process subscriptions, redemptions and exchanges of Shares and payments of dividends; perform controls on excessive trading and market timing; comply with applicable anti-money laundering rules or anti-terrorist financing rules; or comply with our reporting obligations to regulatory bodies or tax authorities as well as our obligations under other applicable laws and regulations, monitor calls and electronic communications to process and verify of instructions, or for investigation and fraud prevention purposes.

The legal basis for this processing of your personal data is our legitimate interests, namely the proper administration of your investment, the operation of the Company by us, our delegates and the service providers in relation to a Fund or the Company; the performance of the contractual obligations between you as a Shareholder and us; to provide you with information, products and services that you request from us; to notify you about changes to our services or to a Fund or the Company; and to comply with applicable laws and regulations.

You have the right to refuse to give us your personal data in which case we may at our discretion and where your refusal necessarily prevents us from completing our checks, diligence or other legal, regulatory or confirmatory matters, refuse to issue Shares to you; refuse to pay the proceeds of a redemption of Shares; refuse to pay income on Shares; or compulsorily redeem your holding.

- (2) With regard to each of your visits to our website, we will automatically collect certain information about you or your computer. We will do so for administration purposes and to analyse the use of our website and services. Further details are available in the Prospectus and on our website.

The legal basis for this processing is our legitimate interests, namely monitoring and improving our website and services.

We will combine the information that you give us with information that we receive from other sources and use this for the purposes set out above (depending on the types of information we receive).

We may also use your personal data to establish, exercise or defend claims in order to protect or assert our legal rights, your legal rights or the legal rights of others, obtain or maintain insurance coverage, manage risks, or obtain professional advice in order to protect our business.

Disclosure of your information

We may disclose your personal data to any member of our group of companies; our insurers or professional advisers; service providers to the Funds or Company; our service providers, delegates, suppliers, contractors, sub-contractors or business partners and third parties with whom we contract; our auditors, our bank, competent authorities including the FCA, tax authorities, courts and other bodies for reporting or as otherwise required by law; technical advisers or analytics and search engine providers that assist us in the improvement and optimisation of our website; credit reference agencies or other risk management agencies; third parties that provide security, email security, data governance, archiving and other information technology support services; any third party that you ask us to share your personal data with.

We may disclose your personal data to third parties in the event we sell or purchase a business or assets; if we are acquired by a third party; in the event that we propose to retire as Authorised Corporate Director of the Company, in which case we may disclose your personal data to the intended new Authorised Corporate Director prior to, and at the time of, the transfer in order for the new Authorised Corporate Director and their delegates to make certain preparations; or where we are under a duty to disclose or share your personal data in order to comply with any legal or regulatory obligation; or in order to enforce or apply the terms of use of our website (which can be found on our website) and other agreements; or to protect our rights, property, or

safety, or that of our customers, or others.

International transfers of your personal data

If we or our service providers need to share your personal data with a recipient outside the UK or the European Economic Area (“EEA”), we will ensure that appropriate safeguards are in place including: model clauses that have been approved by the European Commission or the Secretary of State; a code of conduct or other certified mechanisms such as binding contractual rules. (“Safeguards”). Your personal data may be transferred to third parties that we or our service providers use including certain banks that we or our service providers use or certain companies that provide certain services to our service providers such as the registrar of the Company. Such third parties include: a company located in India that provides operational support services, a company based in the USA that provides information technology security services, and a company based in the USA (but which has affiliates in multiple locations) that provides customer services software.

Retention and deletion of your personal data

We will not keep your personal data longer than is necessary for the purpose that we process it or for any purpose. We will generally retain your personal data for a minimum of 7 years, or for such period as is necessary for compliance with a legal obligation to which we are subject, or in order to protect your vital interests or the vital interests of another natural person.

Rights of an individual

As an individual, you have certain rights under the Data Protection Requirements. These include: (a) the right of access (b) the right to rectification (c) the right to erasure (d) the right to restrict processing (e) the right to object to processing (f) the right to data portability (g) the right to complain to a supervisory authority, and (h) the right to withdraw consent. Some of the rights are complex and only apply in specific circumstances. Further details are set out in the privacy policy published on our website.

Our details

You can contact us or our Data Protection Officer regarding the Data Protection Requirements or our privacy policy:

- (a) by post, to Hamilton Centre, Rodney Way, Chelmsford, England, CM1 3BY; or
- (b) by telephone (via the Administrator and Registrar), on +44 (0) 126 844 8634 or the contact number published on our website from time to time; or
- (c) by email, to FP_Compliance@FundRock.com or the email address published on our website from time to time. Further information is available on our website.

7. Declaration

- I apply to invest in a FundRock Partners Limited ISA invested in the FP Octopus Investments UCITS Fund for the tax year set out in Section 2 and for each subsequent tax year until further notice.
- All subscriptions made, and to be made, belong to me.
- I confirm that I am over 18 years of age.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash, a stocks & shares ISA, and to an innovative finance ISA in the same tax year.
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earning & 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 FundRock Partners Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- I confirm that I have read a copy of the Prospectus and relevant UCITS Key Investor Information Document(s), the Supplementary Information Document which includes the ISA Terms and Conditions, and agree to be bound by them and accept that they may be varied at FundRock Partner Limited's discretion.
- I declare that this application form has been completed to the best of my knowledge and belief. I agree to inform FundRock Partners Limited by post to "FundRock Partners Limited - Octopus, PO Box 10359, Chelmsford, CM99 2AW" should any personal details set out in this form, including the details provided in Section 3, need updating.
- I understand that you may require additional information from me in accordance with applicable anti-money laundering regulations and I/we acknowledge that electronic data sources may be used to check my identity under such regulations.
- I have read the data protection information contained in the Prospectus and in this document.
- I consent to my shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.
- I authorise FundRock Partners Limited:
 - to hold my cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash,
 - to make on my behalf any claims to relief from tax in respect of ISA investments.
- I hereby acknowledge that when I apply for shares in a fund there is a window of time between FundRock Partners Limited receiving subscription money from me and FundRock Partners Limited transferring the subscription money to the Depositary (as defined in the Prospectus) to be used to settle the creation of my shares. If FundRock Partners Limited transfers the subscription money to the Depositary, by the close of business on the Business Day (as defined in the Prospectus) following receipt, FundRock Partners Limited is permitted to use an exemption to the Financial Conduct Authority's client money rules (the "Client Money Rules") which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the subscription money to the Depositary outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules.
- Similarly I acknowledge that when I make a redemption request for shares in a fund there is a window of time between FundRock Partners Limited receiving redemption money from the Depositary and FundRock Partners Limited transferring the redemption money to me. If FundRock Partners Limited transfers the redemption money to me/us by close of business on the Business Day following receipt, FundRock Partners Limited is permitted to use an exemption to the Client Money Rules which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the redemption money to me outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules until such time as it is paid to me.
- Money which is not held as client money will not be protected in the event of the insolvency of FundRock Partners Limited. By agreeing to subscribe for shares in a fund, you consent to us operating the delivery versus payment exemption on subscriptions and redemptions as explained above.
- By signing this application form, I consent to the transfer of any client money held by FundRock Partners Limited to a third party where FundRock Partners Limited decides to transfer all or part of its business to that third party in accordance with the Client Money Rules. In such circumstances the sums transferred will be held by the third party in accordance with the Client Money Rules, or FundRock Partners Limited will exercise all due skill, care and diligence in assessing whether the third party will apply adequate measures to protect these sums. I acknowledge that by providing consent at this time neither FundRock Partners Limited nor the third party need obtain my prior consent to the specific transfer.

Applicant's Name (please print)	Applicant's Signature	Date

8. Politically Exposed Person—Tick either A) or B)

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I represent and warrant that, to the best of our knowledge, none of the following persons:

- 1) the investor;
- 2) any person controlling or controlled by the investor;
- 3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- 4) any person for whom the investor is acting as agent or nominee in connection with this investment

is a politically exposed person, as defined in the footnotes below.

OR

CATEGORY B)

- 1) I confirm that I meet the definition of a politically exposed person(s),* or any immediate family member(s)** or close associate(s) of a politically exposed person according to the terms defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

* “politically exposed person” or “PEP” means an individual:

- (iv) who is or has, at any time in the preceding year, been entrusted with a prominent public function, including: (a) heads of state, heads of government, ministers and deputy or assistant ministers; (b) members of parliament or of similar legislative bodies; (c) members of the governing bodies of political parties; (d) members of supreme courts, of constitutional courts or of any judicial body the decisions of which are not subject to further appeal except in exceptional circumstances; (e) members of courts of auditors or of the boards of central banks; (f) ambassadors, charges d’affaires and high-ranking officers in the armed forces; (g) members of the administrative, management or supervisory bodies of state-owned enterprises; and (h) directors, deputy directors and members of the board or equivalent function of an international organisation;
- (v) a family member of a person falling within (i) above, including: (a) a spouse or civil partner of such a person; (b) a child of such a person, or the spouse or civil partner of that child; and (c) a parent of such a person; or
- (vi) a known close associate of a person falling within (i) above, including: (a) any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with such a person; and (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of such a person.

I FALL INTO CATEGORY: A) <input type="checkbox"/> or (Please tick as appropriate) B) <input type="checkbox"/>

Applicant’s Name (please print)	Applicant’s Signature	Date

Please make sure you have:

- Signed the application form;
- Made your investment requirements clear;
- Completed the separate Direct Debit Mandate for a monthly savings plan, if applicable;
- Completed the 'Politically Exposed Person' and the 'Self-Certification for Individuals' or 'Self-Certification for Entities' sections, as appropriate;
- Enclosed a cheque for the appropriate amount, payable to 'FundRock Partners Limited', if applicable. (Payment for investment in the OEIC can also be made by direct bank transfer);
- In order to comply with the UK law on money laundering, cheques must be drawn on your own account or a joint account with your spouse. If you ask your bank or building society or regulated financial adviser to draw the cheque, they must state on the cheque that the funds have been drawn from an account in your name. For example, the payee would be 'FundRock Partners Limited (Re: A. N. Other)'. Alternatively, ask them to write your name and address on the reverse of the cheque and add the bank/building society/financial adviser stamp and signature to confirm the money is drawn from your account. For a monthly savings plan, please ensure that verification of bank details is supplied with this application form.

Please return your completed application form (and cheque, if applicable) to:

FundRock Partners Limited - Octopus, PO Box 10359, Chelmsford, CM99 2AW

If you have any questions regarding the completion of this form please contact FundRock Partners Limited on 01268 448634 or your financial adviser.

Intermediary Comments:

Intermediary Stamp: FCA Number: Agency ref: £:

Name of Registered Individual:
