

# Individual Investor application form

This application form is an offer to enter into an agreement that covers your transactions with Columbia Threadneedle Fund Management Limited ("CTFML")

- You can use this form to add to an existing CTFML investment or open a new account
- You can invest a lump sum, or monthly savings, or both
- The form can only be used to invest in funds operated by CTFML
- A maximum of 4 joint holders can be registered. All registered holders must be over 18 years of age and not US Nationals/Persons. All correspondence will be sent to the first registered holder
- If you are unsure whether this is the correct application form, you can us on 0800 085 2752.

This form may be used by advisers for clients wishing to apply directly to CTFML. If the financial adviser section is not completed, this application may be rejected where the amount invested is less than the published investment minimum amount for these share classes.

Before making your investments, please ensure that you have read the latest Key Investor Information Documents (KIIDs), fund prospectus for your preferred investment(s), and the CTFML Supplementary Information Document which includes the Terms & Conditions for this account. These documents can be found at [ctinvest.co.uk/literature](http://ctinvest.co.uk/literature). Paper copies can be provided on request.

Please complete the form in block capitals and in black ink.

Please return the form to your financial adviser (if you have one) or directly to us at the following address:

Columbia Threadneedle Fund Management Limited  
 PO Box 9040  
 Chelmsford  
 CM99 2XH

## Part 1 New or existing account

A) If topping up an existing investment account enter your account number here:

B) If opening a new account, you may enter a designation to distinguish a new Columbia Threadneedle Fund Management Limited account from any existing Columbia Threadneedle Fund Management Limited account(s) you hold. The designation can be up to a maximum of twenty four characters and must comprise of letters and numbers only.

Account designation (if required)

OR I/We do not wish to use a designation (please tick box)

## Part 2a Investor Details – this section must be completed

To open a new account, all accountholders must complete their details in parts 2 and 6, and sign in part 6  
 To add to an existing account, only one account holder needs to complete their details in part 1 and sign in part 6

Please ensure you supply your address, date of birth, Nationality and National Insurance number – all are required to open your plan.

Title (Mr/Mrs/Miss/Ms/Other)  First name(s) in full

Surname  Date of birth

Permanent residential address

Postcode

Nationality  Telephone  National Insurance number

Email address  Tick here if you have never been issued with a National Insurance number

## Part 2b Additional Investor Details

### Second registered holder details

Title (Mr/Mrs/Miss/Ms/Other)

First name(s) in full

Surname

Date of birth

Permanent residential address

  
  

Nationality

Telephone

National Insurance number

Email address

Tick here if you have never been issued with a National Insurance number

### Third registered holder details

Title (Mr/Mrs/Miss/Ms/Other)

First name(s) in full

Surname

Date of birth

Permanent residential address

  
  

Nationality

Telephone

National Insurance number

Tick here if you have never been issued with a National Insurance number

### Fourth registered holder details

Title (Mr/Mrs/Miss/Ms/Other)

First name(s) in full

Surname

Date of birth

Permanent residential address

  
  

Nationality

Telephone

National Insurance number

Tick here if you have never been issued with a National Insurance number

### Data Protection

All personal information submitted with this application form will be treated in accordance with Columbia Threadneedle Management Fund Limited's Privacy Policy, which is available at: [ctinvest.co.uk/privacy](http://ctinvest.co.uk/privacy). This privacy policy includes full details about the type of 'information we collect, what we use this information for, and your related rights.

In addition, the Columbia Threadneedle Fund Management Ltd Supplementary Information Document contains a summary of the key information about how we process your personal information. Should you have any questions regarding how we process your personal information key we have provided you with key contact information in the Terms & Conditions, as well as in our Privacy Notice.

### Marketing

We would like to provide you with details of financial services and products that we offer which we think you might find interesting. **If you would NOT like to receive such information, please tick this box** . If at any time you change your mind, please let us know by emailing us at [preferences@columbiathreadneedle.com](mailto:preferences@columbiathreadneedle.com).

### Part 3 Investment Details

You can choose to invest with a lump sum and/or through regular savings. Please list the fund(s) you wish to invest in and the amount per fund.

Fund	Tick if you want to receive income or accumulation share class		Lump Sum Amount (min £1,000 per fund or £10,200 if taking regular withdrawals)	Regular Savings Amount (min £50)
	Accumulation	Income		

**Regular savings** If making monthly payments you must fill in the Direct Debit form on page 5.

Lump sum investments can be made in addition to monthly payments. You will need to enclose a cheque for the first payment.

**Income Payments** If you have selected income shares the income (interest or dividends) from your investments will be automatically paid out. If you wish to receive the income from your investment into your Bank/Building Society Account you will need to complete your Bank/Building Society details in Part 4. However if you have selected the CT Multi-Sector Bond Fund, CT Multi-Sector High Income Bond Fund, CT US Smaller Companies Fund or CT Diversified Monthly Income Fund and want income to be re-invested, please tick this box

### Part 4 Bank/Building Society Details - for payment of income only

This section only needs to be completed if you wish to receive the income (interest or dividends) from your investment. If you are interested in taking regular withdrawals from your investment, please request information on our Selector facility by calling 0800 085 2752. The Selector facility is not available with regular savings or if the income is being paid out to you.

Name of bank or building society

Address

  


Sort code

Account number

Account Name as held by Bank or Building Society

Bank account name must be in the same name as the Columbia Threadneedle Investments account being opened.

Roll number (if applicable)



### Part 5 Beneficial owner details - if applicable

You need only complete this section if the registered holders of the investment are not the beneficial owners of the account

Beneficial owner 1:	
Title:	Forename:
<hr/>	
Surname:	
<hr/>	
Date of Birth:	
<hr/>	
Address:	
<hr/>	

Beneficial owner 2:	
Title:	Forename:
<hr/>	
Surname:	
<hr/>	
Date of Birth:	
<hr/>	
Address:	
<hr/>	

Beneficial owner 3:	
Title:	Forename:
<hr/>	
Surname:	
<hr/>	
Date of Birth:	
<hr/>	
Address:	
<hr/>	

Beneficial owner 4:	
Title:	Forename:
<hr/>	
Surname:	
<hr/>	
Date of Birth:	
<hr/>	
Address:	
<hr/>	

If there is insufficient space above to list all the relevant individuals please continue on a separate sheet of paper and attach to the form.

## Part 6 Individual Self-Certification Form – and declaration

### Tax residency

Tax regulations<sup>1</sup> require us to collect information about each investor's tax residency<sup>2</sup>. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with Her Majesty's Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions<sup>3</sup>.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you indicate that you are a UK Tax resident only and not a US citizen, you do not need to provide further details of your Tax Identification number as you have already provided your National Insurance Number in part 2. If you have any questions about your tax residency<sup>2</sup>, please contact your tax adviser.

Country/Countries of Tax Residency	Tax Identification Number*

<sup>1</sup> The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

<sup>2</sup> In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.

<sup>3</sup> Those countries that have agreed to exchange information under FATCA and the CRS<sup>1</sup>.

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

I/We have received advice on this investment decision. Yes  No

(Please tick one box to confirm. The instructions will be processed on the basis that the decision was advised if left blank.)

- I/We declare that the information given on this completed application form is current and to the best of my/our knowledge
- I/We are aged 18 years or more
- I/We confirm that I/we have seen the current Key Investor Information Document for each share classes applied for in Part 3.
- I/We agree to be bound by the terms & conditions relating to the plan and to inform Columbia Threadneedle Fund Management Limited in writing immediately of any change in my circumstances
- I/We understand that this application is subject to acceptance by Columbia Threadneedle Fund Management Limited and that Columbia Threadneedle Fund Management Limited may act on instruction from my/our financial adviser
- I/We the signatories, are the beneficial owner(s) of the investments in the account (If not the case please delete this line and provide details of the beneficial owners in the name and address box in Part 5
- I/We confirm I/we are not a US person (as defined in the Prospectus) and that the interests are not being acquired for the benefit or account of, directly or indirectly, a US Person
- I am resident only in the UK for tax purposes. If this is not correct, I have completed part 6 above
- I/We authorise Columbia Threadneedle Fund Management Limited to disclose any information relating to my/our account to the Financial Conduct Authority, HMRC or to make such disclosure as otherwise required by law, including anti-money laundering and anti-terrorism laws. Columbia Threadneedle Fund Management Limited may be obliged to make disclosures regarding such information to comply with the requirements of applicable law or regulation and/or the requirements of UK and other competent authorities.
- I/We authorise Columbia Threadneedle Fund Management Limited to undertake any necessary searches of the electoral roll and credit reference agencies
- I/We understand that money laundering regulations may require Columbia Threadneedle Fund Management Limited to verify my identity and permanent residential address through searches of the electoral roll and credit reference agencies and that these agencies may keep a record of Columbia Threadneedle Fund Management Limited's enquiry. I further understand that Columbia Threadneedle Fund Management Limited may also need to write to me for additional documentation confirming my identity and permanent residential address. All applications will be processed on receipt, however Columbia Threadneedle Fund Management Limited reserves the right not to issue Shares to me nor make payments in respect of my investment until satisfactory proof of my identity and permanent residential address is provided.

Signature (1st registered holder)	<input type="text"/>	Date	<input type="text"/>
Signature (2nd registered holder)	<input type="text"/>	Date	<input type="text"/>
Signature (3rd registered holder)	<input type="text"/>	Date	<input type="text"/>
Signature (4th registered holder)	<input type="text"/>	Date	<input type="text"/>

### Application checklist

- Make sure you have completed each part of the application and signed the Declaration in Part 6.
- Lump sums – please make your cheque payable to **Columbia Threadneedle Fund Management Limited** and enclose it with your application.
- Regular savings – please enclose a cheque for the first payment and make sure you complete the Direct Debit Instruction.
- Any cheques or Direct Debits payable to Columbia Threadneedle Fund Management Limited must be drawn from an account in the name of the applicant.
- Where the application is supported by a building society cheque or bankers draft please state the name and account number from which the funds have been drawn either on the front of the cheque, on the back of the cheque together with the branch stamp, or by way of other supporting document.**

Please send your application, together with your cheque and any other relevant information as specified, to your financial adviser, or to:

Columbia Threadneedle Fund Management Limited  
PO Box 9040,  
Chelmsford,  
Essex  
CM99 2XH

If you have any queries about completing your application please call us on:

**0800 085 2752**





**Part 7**

For Financial Adviser Use only –

this section must be completed in full for advised business. The form may be rejected if the fields have not been filled in.

Company name

Company address including postcode

  
  

Postcode

Agent code\*

FCA number

\*This number can be located on your commission statement.

Name of Network or Service Provider you are affiliated with (if relevant)

Please tick to confirm that certified proof of the client identity and permanent residential address is enclosed If you have already spoken to the dealing desk on **0330 123 3799** with this order please insert the deal reference number below.This transaction is subject to the current Columbia Threadneedle Fund Management Limited Terms of Business for Independent Intermediaries available within the literature library at [ctinvest.co.uk](http://ctinvest.co.uk)

