

HENDERSON ROWE

FP Rayliant
Funds
ISA Transfer Application Form

For completion by the introducing intermediary
(if applicable)

Advised Investment*

Non-advised Investment*

*Please tick as appropriate



FUNDROCK

1. Personal Details (BLOCK CAPITALS please)

| | |
|----------------------------|---------|
| Title | Surname |
| Forename(s) | |
| Permanent Address | |
| | |
| Postcode | |
| National Insurance Number* | |
| Telephone (daytime) | |
| Telephone (evening) | |
| Date of Birth | |

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.

2. Reinvestment Details

I apply to transfer my existing ISA(s) (and subscribe to a FundRock Partners Stocks and Shares ISA for the **20 / 20** tax year and each subsequent year until further notice). (PLEASE COMPLETE THE TAXYEAR).

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

Please invest as follows:

| FP Rayliant Funds | Share Class and Type (Minimum initial investment: £1,000) | Investment of Transfer | Additional Investment into Current Tax Year | |
|---|--|------------------------------------|---|--|
| | | % of Transfer Value to be Invested | Lump Sum Investment | Monthly Savings** (min. £100 per month) |
| FP Rayliant Quantamental Emerging Markets Equity Fund | A Class Accumulation | % £ | £ | £ |

* You can invest up to your ISA limit in a Stocks and Shares ISA 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 date if the 10th is a non business day.

3. Regular Withdrawal Facility (Accumulation Shares only)

The Regular Withdrawal Facility is only available on lump sum investments into accumulation shares, with a minimum qualifying investment of £10,000. The facility is not available if you are investing new money by direct debit in a savings scheme on a monthly basis. If you qualify for the Regular Withdrawal Facility and wish to make a regular withdrawal, please indicate below the amount or percentage that you wish to withdraw subject to the minimums as stated.

| | | |
|--|---------|-----------|
| I wish my regular withdrawal to be taken (please tick one option): | Monthly | Quarterly |
| I wish to receive my first regular withdrawal payment on the following month (if you do not include the month your first withdrawal will take place at the next available payment date): | Month | Year |

I wish to withdraw the following amount per fund each year which will be paid in instalments as indicated above. Please write in a percentage or £ amount in the boxes after reviewing the notes below regarding withdrawal limits.

| Fund Name | £ or % Amount | |
|---|---------------|---|
| FP Rayliant Quantamental Emerging Markets Equity Fund | £ | % |

The minimum withdrawal per fund per year is £300 or 3%.

Withdrawals will be paid on 6th of the month or the previous business day if the 6th is not a business day. Please note that if you withdraw more money than the underlying growth rate of your investment then your original capital will be eroded. A minimum of nine business days is required to set up this facility on your account.

Please note that banks and building societies may not accept Direct Credits to some types of accounts. Due to money laundering regulations, your bank account must be the same as the one your initial investment is paid from.

| Bank Account Details | |
|--|--|
| Bank or Building Society | |
| Branch Title | |
| Name of Account Holder(s) | |
| Account Number | |
| Sort Code | |
| Building Society Roll Number (if applicable) | |

4. Cancellation Rights

Under the Financial Conduct Authority's Conduct of Business Sourcebook, cancellation rights will apply where the contract was arranged through an independent intermediary, unless they hold an appropriate Customer Agreement with you or dealt on your behalf on an execution-only basis. A copy of the Prospectus is available, free of charge, on request. A copy of this completed application form is also available on request.

For an Advised Investment Cancellation Rights **will** apply.

5. 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) any applicable legislation supplementing and / or implementing GDPR in the United Kingdom, and (c) any legislation that, in respect of the United Kingdom, replaces GDPR as a consequence of the United Kingdom leaving the European Union. Further details on our privacy policy and your rights under the Data Protection Requirements can be found on our website: www.fundrock.com.

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 the Fund by us, our delegates and the service providers in relation to a Fund; 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 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; 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 investment fund manager/authorised corporate director on a Fund, in which case we may disclose your personal data to the intended new authorised investment fund manager/authorised corporate director prior to, and at the time of, the transfer in order for the new authorised investment fund manager/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 European Economic Area or “EEA”, we will ensure that appropriate safeguards are in place including: model clauses that have been approved by the European Commission; 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 Fund. 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 Bastion House, 6th floor, 140 London Wall, London, EC2Y 5DN;

(b) by telephone, on **01268 44 8658** or the contact number published on our website from time to time; or

(c)) by email, to **FP_DataProtection@Fundrock.com** or the email address published on our website from time to time. Further information is available on our website.

6. Declaration

- I apply to invest in a FundRock Partners Limited ISA invested in the FP FP Rayliant Quantamental Emerging Markets Equity Fund .
- 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 have read the FP Rayliant Quantamental Emerging Markets Equity Fund KIID, the ISA Terms and Conditions, and agree to be bound by them and accept that they may be varied at the Company's discretion.
- I declare that this application form has been completed to the best of my knowledge and belief.
- I understand that you may require additional information from me in accordance with the money laundering regulations and I acknowledge that electronic data sources may be used to check my identity under the money laundering 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/We* hereby acknowledge that when I/we apply for shares or units 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) or Trustee (as defined in the Prospectus), to be used to settle the creation of my/our shares or units. If FundRock Partners Limited transfers the subscription money to the Depositary, or Trustee, 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, or Trustee, 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/units in a fund there is a window of time between FundRock Partners Limited receiving redemption money from the Depositary, or Trustee, 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. By agreeing to subscribe for shares or units 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/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. 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.

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

7. 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 hereby represent and warrant that, to the best of our knowledge, none of the following:

- 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,* or any immediate family member** or close associate of a politically exposed person as such terms are 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” means an individual who is, or has at any time been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): (a) a specified official; (b) a member of the administrative, management or supervisory body of a state-owned enterprise; “specified official” means any of the following officials (including any such officials in an institution of the European Communities or an international body): (a) a head of state, head of government, government minister or deputy or assistant government minister; (b) a member of a parliament; (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal; (d) a member of a court of auditors or of the board of a central bank; (e) an ambassador, charge´ d’affaires or high-ranking officer in the armed forces.

** The definition also expands to a “close associate”, “immediate family member” of a politically exposed person and includes any of the following persons: a) any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c) any spouse of a PEP d) any person who is the equivalent of a spouse under the national law of the place where the PEP resides e) any cohabitant, f) any child or parent of the politically exposed person or spouse of the child of the PEP g) any other family member who is of a prescribed class.

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

| 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' section, as appropriate;
- Enclosed a cheque for the appropriate amount, payable to 'FundRock Partners Limited';
- 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 to:

FundRock Partners Limited – HendersonRowe, PO Box 10849, Chelmsford, CM99 2XT

If you have any questions regarding the completion of this form please contact your financial adviser or the ACD on **01268 44 8658**.

| |
|------------------------|
| Intermediary Comments: |
|------------------------|

| |
|---|
| Intermediary Stamp: FCA Number (FRN): Agency ref: Discount %: Commission payable % (non-advised business only): |
|---|

| |
|--------------------------------|
| Name of Registered Individual: |
|--------------------------------|

FundRock Partners Limited (registered in England and Wales No 4162989). Authorised and regulated by the Financial Conduct Authority
Registered address details: Bastion House, 6th floor, 140 London Wall, London, EC2Y 5DN

Transfer Authority(ies) (BLOCK CAPITALS please)

| | |
|---|---|
| Existing ISA Plan Manager's Name and full address | |
| Plan Reference | |
| The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL") | |
| Type of ISA being transferred | Cash ISA ** Stocks & Shares ISA ** ** |
| Please indicate the approximate value of the ISA to be transferred | £ |
| Please transfer my current ISA, detailed in this Transfer Instruction Form, to FundRock Partners Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to FundRock Partners Limited, in accordance with ISA Regulations. Payment should be made to 'FundRock Partners Limited'. | |
| I authorise you to provide FundRock Partners Limited with any information they request regarding my ISA. | |
| Applicant's Name | |
| Applicant's Signature: | Date: |

| | |
|---|---|
| Existing ISA Plan Manager's Name and full address | |
| Plan Reference | |
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| Applicant's Name | |
| Applicant's Signature: | Date: |

| | |
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| Applicant's Name | |
| Applicant's Signature: | Date: |