

# First Sentier Investors ICVC (the 'Company')

OEIC/ISA redemption form



Before completing this form, please read the statement on the use of customer information and the Notes and Declarations under section 4. Please ensure that you complete all relevant sections on this form, including the reverse. (\*Optional fields, in the case of daytime or evening telephone numbers at least one number must be provided). **Return the form to First Sentier Investors (UK) Funds Limited, PO BOX 404, Darlington, DL1 9UZ, UK, or telephone 0800 587 3388 (UK investors only) or +44 (0) 203 528 4102.** Terms defined in the prospectus of the Company ("Prospectus") shall, unless the context requires otherwise, bear the same meaning herein.

## Notes

- No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion.
- All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Company.
- The Company, Administrator and the Distributor reserve the right to request additional documents as is necessary to verify the identity of the applicant(s) for the propose of anti-money laundering, counter terrorist financing and any other laws or regulations.
- Due to the closure of certain stock markets and regulated markets we invest in, a number of our funds may have additional non-dealing days, to align the days on which investors are able to subscribe, redeem and/or otherwise deal in a Fund with its ability to calculate the relevant net asset value and/or dispose of the relevant Fund assets.

## 1. Personal details

Account Number

Please provide your full name and address.

If shares are jointly held you should provide name and address details of the shareholder to which the shares are registered. All shareholders must sign this form.

Title  Surname

Forename(s) in full

\*Telephone (daytime)  Country Code  Area Code  Tel

Nationality

\*Telephone (evening)  Country Code  Area Code  Tel

Citizenship

Email address

(Please detail all countries of Citizenship)

Permanent address

Date of birth

Country of Birth

Country  Postcode

City/Town of Birth

## 2. Dealing instructions

I/We wish to redeem the following shares at the first available valuation point following receipt of this form by First Sentier Investors in accordance with the prospectus of First Sentier Investors ICVC.

Minimum redemption and balance amounts can be viewed in the Prospectus or are available on request. Please note that a minimum balance must be maintained in each fund after any partial withdrawal, otherwise an investor may be required to redeem their entire shareholding in the fund.

**A valid ISIN must be provided in order for your instruction to be processed.**

Full Name of the Fund	Fund Identifier: ISIN	Cash amount	Number of Shares
	(ISIN can be located on fund share class Key Investor Information Document – KIID)		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Cancel DD instruction (if applicable)  YES

**If you are requesting a partial sale of shares and invest regularly by Direct Debit, your Direct Debit will continue unless you instruct us otherwise by ticking the box above.**

## 3. Redemption payment

We will only make payment by telegraphic transfer if the bank account is the same as that from which we have been collecting your regular monthly contributions or we receive proof of your bank account details stating sort code, account number and name in the form of an original bank statement, a voided cheque or a pre-printed pay-in slip. Without proof of your bank account we will be unable to send the proceeds to your bank/building society. Any expenses or costs incurred in currency conversion and remittance by telegraphic transfer will be borne by the redeeming shareholder(s). Please provide bank details below.

Name of Bank or Building Society

Name of account holder

Bank/Building Society address

Account no.

Sort code   -   -

Country  Postcode

Building society roll number

## 4. Signature(s) and declaration

Please read the declaration below before you sign and date this OEIC redemption form. By signing you make the declaration shown below and confirm that you have read this form and the separate key investor information document ("KIID") for the fund(s) in which you wish to have chosen to redeem shares.

I/We declare that:

- if this form is signed under Power of Attorney, the Attorney declares that they have not received notice of revocation of that power (a certified copy of the Power of Attorney should be submitted with this application unless we have already received it)
- sole signatories signing on behalf of a company confirm that they are signing as a sole director or sole company secretary of the company.
- I am/We are not a "Specified United States Person" under the tax laws of the U.S.\* or a non-U.S. entity with one or more Specified United States Persons as "substantial United States owners" or "Controlling Persons".

\*For this purpose, a "Specified United States Person" will include, subject to certain exceptions, (A) an individual who is a citizen or resident of the U.S., (B) a partnership or corporation (including any entity treated as a partnership or corporation for U.S. tax purposes, such as a limited liability company) organised in or under the laws of the U.S. or any state of the U.S. thereof (including the District of Columbia), (C) any estate the income of which is subject to U.S. tax regardless of its source, and (D) any trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.

- I am/We are not a person resident or otherwise located in Canada.

I/We agree and consent:

- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a specified United States person
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a person resident or otherwise located in Canada
- to indemnify and hold harmless First Sentier Investors (UK) Funds Limited, the Investment Manager and First Sentier Investors ICVC and their respective agents from time to time for any costs or losses incurred, suffered or arising in connection with a breach of the above declarations and agreements and/or in relation to any late or non-payment of the settlement amount and/or my/our actions or failure to provide any information or documents requested by any of them to comply with the AEOI regimes or other laws or regulations.

I/We declare and agree:

- I/We agree to provide on request in a timely manner any information or documentation in relation to myself/ourselves as may be necessary or desirable for the Company (or its agents) to comply with any reporting or other obligations and/or prevent the withholding of tax under the AEOI regimes.
- I/We acknowledge that the Company may, in accordance with the provisions of the Prospectus compulsorily redeem my /our shares in the Fund(s) if I/We acquire or are holding such units in breach of the requirements or in the circumstances detailed in the Prospectus of the Fund(s), whether at the point of my investment or thereafter; and
- I/We undertake to observe and be bound by any such decision by the Company and agree that the Company / Investment Manager shall not assume liability for any losses arising from a compulsory redemption of any of my/our shares in the Fund.
- I/We confirm that all the information made by me/us in this Application Form and as otherwise provided by me/us to the Company / Investment Manager shall remain valid and I/We also undertake to immediately notify the Company / Investment Manager on any changes to such information.
- I/We acknowledge that if I/We provide information and documentation that is in any way misleading, or fail to provide the Company (and/or its agents) with the requested information and documentation necessary in either case to satisfy the Company's obligations under the AEOI regimes, the Company reserves the right: (i) to take any action and/or pursue all remedies at its disposal.
- I/We acknowledge that the Prospectus (General Information, Protection of client money) describes how you will settle purchases and redemptions of Shares with me/us, including where you will do so on a delivery versus payment basis and will not be required to treat the money as client money (provided you settle with me/us within the time frames required by the FCA Rules). I/We agree to you not treating my/our money as client money in those circumstances.
- I/We acknowledge that FSI UK will treat me/us as a retail client under the FCA's categorisation rules.
- I/We confirm that all the information made by me/us in this Application Form shall remain valid and I/We also undertake to immediately notify you in writing if there is any change in my/our registration details above in the subsequent years.
- I/We understand that selling shares not held in an ISA could give rise to a liability to capital gains tax.
- I/We understand that we can complain to the complaints officer, who will investigate and take such action as may be considered appropriate. We may also, complain directly to the Financial Ombudsman Service ([www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)).

If you are not the registered shareholder please insert the capacity in which you are signing e.g. Attorney, Administrator or Executor.

## Use of customer information

The personal information that you provide in this application form will be processed by First Sentier Investors (UK) Funds Limited or its agents or third party administrators in accordance with the privacy notice provided alongside this application form (the "Privacy Notice"). In the event of an inconsistency between the content of this application form and the content of the Privacy Notice, the Privacy Notice will prevail.

## Notes

1. No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion.
2. UK regulations require the Company to collect and disclose certain information about each investor and certain related persons and their investments in the Company to HM Revenue & Customs and/or other tax authorities overseas. These regulations (as amended or replaced from time to time) were enacted pursuant to an intergovernmental agreement signed by the UK with the United States to implement the US Foreign Account Tax Compliance Act ("FATCA"), similar bilateral agreements the UK signed with each of the British Crown Dependencies and Gibraltar ("UK FATCA") and a multilateral agreement with the UK signed with various jurisdictions to implement a similar regime known as the OECD Common Reporting Standard ("CRS", and together with FATCA and UK FATCA and similar regimes, the "AEOI regimes"). The Company may have further future obligations under the CRS and similar AEOI regimes.  
All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Company.
3. The Company, Administrator and the Distributor reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the purpose of anti-money laundering, counter terrorist financing and any other laws or regulations.

## Consent to Marketing

**From time to time we and other First Sentier Investors group companies and their representatives may wish to send you information about other products and services available from First Sentier Investors by telephone, mail or email.**

**If you would like to receive such information, please tick this box.**

**By signing below you confirm your consent to the above use of your information.**

**Please note, in the case of joint holdings all shareholders must sign this form.**

**First shareholder** (named in section 1 of this form)

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

Forename(s) in full

Surname

Signature

Date

**Second shareholder** (if applicable)

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

Forename(s) in full

Surname

Signature

Date

**Third shareholder** (if applicable)

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

Forename(s) in full

Surname

Signature

Date

**Fourth shareholder** (if applicable)

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

Forename(s) in full

Surname

Signature

Date

**5. Return the form to First Sentier Investors by posting to:**

First Sentier Investors (UK) Funds Limited, PO BOX 404, Darlington, DL1 9UZ United Kingdom, or call 0800 587 3388 (UK investors only) or +44 (0) 203 528 4102.

Instructions received and accepted by First Sentier Investors before 12 noon (UK time) will be processed using the applicable price calculated at the 12 noon valuation point. Instructions received and accepted by First Sentier Investors after 12 noon (UK time) will be processed using the applicable price calculated at the next available valuation point.

**A contract note and form of renunciation will be sent to the shareholder following the redemption of shares. Please note that shareholders who have already completed and returned this Redemption Form are not required to also sign and return the renunciation form.**

**Instructions to redeem are irrevocable.**

**For further information please contact our Client Services team:**

Telephone

0800 587 4141

9.00am to 5.00pm Monday to Friday

(+44 203 528 4102)

First Sentier Investors (UK) Funds Limited is authorised and regulated by the Financial Conduct Authority. Registered as a company in England and Wales with number 2294743. Registered office: Finsbury Circus House, 15 Finsbury Circus, London EC2M 7EB, (FCA registration number 143359).

# Privacy Notice

## First Sentier Investors ICVC

### Background

This Notice gives information on how the First Sentier Investors (UK) group of companies collect, use and protect the personal data held about investors.

### Information about us

References in this Notice to First Sentier Investors (UK) will include the following companies:

#### First Sentier Investors ICVC\*

#### First Sentier Investors (UK) Funds Limited\*

(together “we”, “us” or “our”)

\*Authorised and regulated by the Financial Conduct Authority of the United Kingdom.

### Information we may collect

First Sentier Investors (UK) collects from time to time, personal data on investors from a number of sources, including from: investor application forms; other First Sentier Investors (UK) forms (including website forms); correspondence, conversations with clients, advisers, intermediaries; business cards; third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents); client advisers; other third parties; and from public sources. This information may be collected directly from investors or indirectly from third parties, as follows:

#### From you

We may collect from you and process the following personal data:

- Your name; address (including proof of name and address); photo identification; contact details both personal and work (for example, your email and phone numbers); job title and company; nationality; citizenship; tax residency; date of birth; passport details; national insurance number and other tax details; adviser details; investment details; banking details; signed contracts with you; business cards, contact sheets and biographies; financial dealings; family connections; details of your company’s directors, secretaries, authorised signatories and identification documents; details of any complaints made; data received from due diligence activities (such as anti-money laundering, politically exposed persons and sanctions checks); responses to surveys and competitions; fraud enquiries (for example, information from police reports); images captured by CCTV cameras on our premises; recordings of telephone conversations and electronic communications with our staff.

#### From third parties

We may collect personal data about you from third parties in particular:

- **Third party service providers to our funds** (for example, transfer agents, registrars, administrators, distributors, custodians and paying agents) – information received includes personal details of investors obtained from fund application forms such as: name; address; contact details; nationality; national insurance number; date of birth; tax residency; adviser details; investment details; bank account details.
- **Your advisers (including independent financial advisers)** – information received may include your name, address, gender, date of birth; bank details.
- Our **vendors** such as Experian and World-Check – information received includes the results of “Know Your Client”, anti-money laundering, politically exposed persons and sanctions checks.
- **Publicly available sources** such as MandateWire and LinkedIn – information available includes contact details of institutional investors (MandateWire) and details of job title, company, former employers and roles, and connections (LinkedIn).

### How we will use the information we collect

The information we collect and use will depend on the nature of our business relationship with you, as follows:

- In relation to **prospective investors**, we may process personal data for identification purposes (prior to becoming an investor in our funds), for the purposes of anti-money laundering, counter terrorist financing, suitability and appropriateness assessments, “Know Your Client” and credit-worthiness checks, and for any other applicable legal or regulatory reasons. Failure to provide relevant information will mean that we will not be able to on-board a potential investor.
- In relation to **investors in our funds**, we may process information collected for the purpose of account administration and other general business purposes (for example, for processing subscriptions and investments; maintaining the share register of investors, carrying out investor instructions; handling any complaints and enquiries; sending investor communications, including financial reports, valuations, corporate actions). In addition, in order to comply with regulatory obligations, we may collect and disclose certain information about our investors and certain related persons and their investments to HM Revenue & Customs and/or other relevant tax authorities overseas.
- We may from time to time process personal data of **investors** to comply with legal and regulatory requirements impacting our business. In particular, we may need in the context of our business: to obtain legal advice on legal and regulatory requirements; to report to relevant regulators; to comply with market opening and registration requirements in the conduct of our business.
- In relation to **intermediaries who introduce investors into our funds** (such as distributors, platforms and independent financial advisers), we may process personal data to conduct market research, gauge product sales or product performance or assess the creditworthiness of intermediaries. In addition, we may process the personal data of investors introduced to our funds, as outlined above.
- **Monitoring purposes:** we may process personal data to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and usability of our technology platform, including telephone calls and electronic communications with our staff which may be recorded for the purposes of retaining a record of communications, in the interests of security, for training and compliance monitoring purposes and/or to comply with legal or regulatory obligations.
- **Where you have provided your consent, we may process your personal data for the purposes of informing you (for example, by telephone, mail and email) about other products and services available from the First Sentier Investors (UK) group of companies and of marketing campaigns and event invitations.**

We are entitled to use your personal data in these ways because:

- We have legal and regulatory obligations that we have to discharge;
- We may need to in order to establish, exercise or defend our legal rights or for the purpose of legal proceedings;
- The use of your personal data as described is necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates);
- The use of your personal data is necessary for the performance of a contract with you;
- You have provided your consent to us processing your personal data (other than for marketing purposes); or
- You have provided your consent to us processing your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Investors (UK) group of companies and of marketing campaigns and event invitations.

## Disclosure of your information

- We may disclose your personal data to any member of the First Sentier Investors (UK) group, which means our affiliates, for internal business and administrative purposes (including to administer our products and services and for prudential and risk management purposes) and, **where you have given your consent**, to provide you with information on related products and services. We may also disclose personal data relating to our clients to members of our group to whom we sub-delegate our services (for example, trade order execution and portfolio management).
- We may disclose your personal data to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure and to use it solely for the purpose of providing the specified services to us. The following is a list of the types of third parties who process your personal data on our behalf:
  - third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents and researchers). These third party service providers may also disclose and transfer your personal data to their affiliates or other third party contractors.
  - credit reference agencies, debt collection agencies and other companies for use in credit decisions, for fraud prevention, to pursue debtors and for the verification of identity
  - document execution vendors in relation to the execution of contracts with our clients;
  - insurance brokers;
  - professional advisers (for example, accountants/tax advisors and legal advisors).
- If you use a financial adviser (as indicated on your investor application form), then details of your investments and valuations may also be provided to such financial adviser.
- We may disclose to relevant tax authorities, regulators, government departments or competent authorities of the UK or of other countries, any personal data (including tax status, identity or residency or other personal and payment information, documents or self-certifications) in order to comply with a court order or to meet legal and regulatory requirements arising in the conduct of our business. Such disclosure may be made directly to such regulators or competent authorities or made indirectly to our advisers or providers who will make such filings or disclosures on our behalf.

## Transfers outside the UK and EEA

We may transfer your personal data to our overseas affiliates (including outside the UK or EEA) and/or allow the information to be accessed by our affiliates and their employees outside the UK or EEA as well as within. It may also be processed by personnel operating outside the UK or EEA who work for us or for one of our third party service providers.

Where we transfer your personal data outside the UK or EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the UK or EEA or that the transfer is otherwise compliant with data protection laws. This can be done in a number of ways, for example:

- the country that we send the data to might be approved by the UK Information Commissioner's Office or the European Commission;
- the recipient might have signed up to a contract based on "model contractual clauses" approved by the UK Information Commissioner's Office or the European Commission, obliging them to protect your personal data;
- where data protection laws permit us to transfer your personal data outside the UK or EEA.

You can obtain more details of the protection given to your personal data when it is transferred outside the UK or EEA by e-mailing us at [infouk@firstsentier.com](mailto:infouk@firstsentier.com) or writing to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*.

## How long will we store your data?

Personal data held by us will be kept confidential. How long we hold your personal data for will vary and will be determined by various criteria, including:

- the purpose for which we are using it – we will need to keep the data for as long as is necessary for that purpose; and
- legal obligations – laws or regulation may set a minimum period for which we have to keep your personal data.

## Your rights in relation to your data

**If you wish to contact us for any of the reasons below, please e-mail us at [infouk@firstsentier.com](mailto:infouk@firstsentier.com) or write to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*:-**

- You have a **right to access** the information which we hold about you. If you wish to make an application to access or obtain this information, please contact us. In some circumstances, you have the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit that data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us.
- We take reasonable steps to ensure that the personal data we collect, use or disclose is **accurate, complete and up to date**. Please contact us if any of the details you have provided change. Please also contact us if you believe that the information we have about you is not accurate, complete or up to date.
- If you wish us to **erase or restrict** using your data, please contact us. We may need to discuss with you the basis of your request as there may be circumstances where we are legally entitled to continue processing your personal data/refuse your request.
- If you have previously provided your consent to our use of your data (other than for marketing purposes) and you wish to **withdraw such consent**, please contact us. We may need to discuss with you whether our use of your data needs to continue for lawful purposes (i.e. because we have another legitimate reason (other than your consent) for doing so).
- **If you have previously consented to being sent information about other products and services available from the First Sentier Investors (UK) group of companies, you may withdraw such consent by contacting us.**
- If you have any **complaints** in relation to the way we have used your information, please contact us in the first instance. You also have the right to lodge a complaint with the **Information Commissioner's Office** at *Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF (Tel: 0303 123 1113)*, if you think that any of your rights have been infringed by us.

## Other Products and Services

If you would like to receive further information from us about other products or services offered by First Sentier Investors (UK) Group, please ensure you tick the relevant box on the appropriate application form or contact us by e-mailing us at [infouk@firstsentier.com](mailto:infouk@firstsentier.com) or writing to us at *First Sentier Investors (UK) Funds Ltd, PO Box 404, Darlington, DL1 9UZ*.

## Changes to our Privacy Notice

This Notice was updated on 6 April 2022. We reserve the right to change this Notice at any time.