

## VT BROMPTON CAUTIOUS FUND - CLASS A

### APPLICATION FORM FOR THE PURCHASE OF SHARES

**THIS FORM DULY COMPLETED SHOULD BE SENT TO:**

Valu-Trac Investment Management Limited, Orton, Fochabers, Moray IV32 7QE

Tel: 01343 880344, Fax: 01343 880267, or for email, please refer to the relevant fund page at [valu-trac.com](http://valu-trac.com)

If sent by fax or email, please confirm to Valu-Trac Investment Management Limited by telephone immediately and forward the original application form to the address above

#### PURCHASE APPLICATION

I/We, the undersigned, having received and read a copy of the most recent Prospectus for the VT Brompton Funds ICVC ("the Company") (together with any addendums or supplements thereto) and the Key Investor Information Document, hereby apply for such number of Shares in the Company as may be purchased with the amounts indicated below at the subscription price determined in accordance with the Prospectus:

**FUND:** VT BROMPTON CAUTIOUS FUND

**SHARE CLASS:** CLASS A (RETAIL) ACCUMULATION

**LUMP SUM:**

**REGULAR PAYMENTS:**

Per Month - Direct debit mandate required (final page)

#### DETAILS OF APPLICANT

##### FIRST HOLDER

Company/Nominee Name	
or Title	
Surname	
Forenames	
Address	
Postcode	
Country	
Date of Birth	
Mobile Number*	
Email*	

##### JOINT HOLDER

Title	
Surname	
Forenames	
Address	
Postcode	
Country	
Date of Birth	
Mobile Number*	
Email*	

**\*IT IS MANDATORY TO PROVIDE BOTH A CONTACT NUMBER AND AN EMAIL ADDRESS TO ALLOW US TO PROCESS INVESTOR VERIFICATION (DETAILS BELOW)**

**BANK DETAILS OF APPLICANT**

Name of Bank

Address

Account Name

Account Number

Bank Sort Code

**or** Bank Swift Address

**or** Bank ABA Number

Distributions (if applicable) will be paid to the bank account above

**DATA PROTECTION**

For full information on how VT processes, personal information and what your rights are, please see our Privacy Policy online at [www.valu-trac.com](http://www.valu-trac.com). Your data will be shared with our investor verification partner Smartsearch for investor verification purposes only. The Smartsearch privacy policy can be found at [smartsearch.com/privacy-notice](http://smartsearch.com/privacy-notice). Please refer to our website for further information on Smartsearch and our investor verification process.

**FATCA DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES**

Please tick either (a) **or** (b) and complete as appropriate.

- a) I confirm that **I am not** a U.S. citizen and/or resident in the U.S. for tax purposes.
- b) I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes and

my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

**CRS DECLARATION OF TAX RESIDENCY**

Please indicate all countries in which you are resident for tax purposes and the associated Taxpayer Identification Number(s) in the below. Please see the CRS Portal for more information on Tax Residency.

**COUNTRY OF TAX RESIDENCY**

**TAX ID NUMBER (UK Individuals should use their UK National Insurance Number)**

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**PAYMENT METHOD - PAYMENT IS BY WIRE TRANSFER ONLY**

Funds should be wired for value on the settlement date of this transaction which will have been agreed in advance with Valu-Trac Investment Management Limited and which will be stated on the Contract Note issued to you by Valu-Trac Investment Management Limited. If funds are received on any date other than this agreed settlement date they may be returned by the Bank.

**AUTHORISED SIGNATORIES**

This application is authorised by the following who is/are person(s) authorised to give all instructions and to take all actions on my/our behalf in connection with any Shares held by me/us in the VT Brompton Cautious Fund.

Name of authorised Person(s)	Signature of Authorised Person(s)	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Any One to sign       Any Two to sign       Separate list attached

**Note:** If the authorised signatory listing is a separate document forwarded with the original application, this listing needs to be accompanied by a copy of the company's mandate which approves the signatory listing.

## INVESTOR VERIFICATION REQUIREMENTS

PLEASE PROVIDE THE FOLLOWING INFORMATION TO VALU-TRAC INVESTMENT MANAGEMENT LIMITED

### CORPORATE ENTITY

Company Name

Company Registered Address

Company Registration Number

Copy of authorised signatory list, including specimen signatures;

The information you provide will be subject to verification checks in association with our verification partner Smartsearch. You do not need to provide any further documentation unless we specifically request more details from you.

### TRUSTS

If the Trust is an incorporated organisation, you are not required to provide any further documentation unless we specifically request more details from you. The information you provide will be subject to verification checks in association with our verification partner Smartsearch.

**IF** the trust is a Private Trust, please provide;

a copy of the most recent trust deed along with email addresses and mobile phone contact details for the settlor and all beneficiaries.

**AND** follow the same process as described for individuals below.

### INDIVIDUALS

Valu-Trac Investment Management Limited has partnered with SmartSearch UK to complete our investor verification.

For further details about Smartsearch and the investor verification process please refer to our website.

On receipt of the completed application form stating an email address and mobile phone number you will receive an email from [clientservices@smartsearchuk.com](mailto:clientservices@smartsearchuk.com), you will also receive an SMS from Smartsearch with instructions on how to complete the verification process.

This will usually require you to upload a photo of a proof of ID document, such as driving licence or passport, and completing the facial recognition process involving capturing a live image of yourself.

Please note that for joint applicants, each applicant will have to follow the above described process.

#### **IMPORTANT NOTICE**

Until the verification process is fully completed by us, we will not be able to process your subscription or undertake any transactions on your behalf. Please ensure you complete the investor verification process detailed above to minimise any inconvenience.

You will be verified by us, in association with our identity verification partner Smartsearch based on the information provided above, and you do not need to provide any further documentation unless we specifically request more details from you.

## DIRECT DEBIT MANDATE - FOR REGULAR PAYMENTS

If a Regular Investment is to be set up, please complete this form

### DIRECT DEBIT INSTRUCTIONS

- Please use the Direct Debit form below to set up regular payments from the same bank account.
- Please note that any subsequent changes must be received by Valu-Trac at least eight working days before the next collection date.
- Your branch sort code can be found on the top right hand corner of your cheque book or bottom left hand corner of your debit card.
- Most account numbers are eight characters in length.
- Cut off and keep the Direct Debit Guarantee and return the rest of the form to us at the address shown.

<b>Adviser's Stamp and Agent Code (if known)</b>	<b>Return to:</b> Valu-Trac Investment Management Limited Orton, Moray IV32 7QE
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### INSTRUCTION TO YOUR BANK OF BUILDING SOCIETY TO PAY BY DIRECT DEBIT



#### APPLICANT

Name(s) of Account Holder(s)							
Bank or Building Society Account Number							
Sort Code							
Name and full postal address of your Bank or Building Society							
Postcode							

<p><b>Instructions to your Bank or Building Society</b></p> <p>Please pay Valu-Trac Investment Management Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Valu-Trac Investment Management Limited and, if so, details will be passed electronically to my Bank/Building Society.</p>
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Signatures
Date
<b>261316</b>
Reference (for office use only)

Debit Instructions for some types of account

**This guarantee should be detached and retained by the payer**

### THE DIRECT DEBIT GUARANTEE



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Valu-Trac Investment Management Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Valu-Trac Investment Management Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Valu-Trac Investment Management Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Valu-Trac Investment Management Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.