

**SELF-DIRECTED**

**Explicit Pricing**

The disclosure documentation applicable to this transaction is: **0 2 1 4 S D E**

**This form is to be used for Self-directed Explicit Pricing clients only.**

**Please complete this application form using black ink in BLOCK CAPITALS and return to: Cofunds Limited, PO Box 1103, Chelmsford CM99 2XY**

## 1 Intermediary Details (For Intermediary use only)

You will require a Cofunds Authorisation Code before being able to transact business. If you do not include this we will not be able to process this application. Please note our system will be updated to link the client to this Intermediary Authorisation Code.

Cofunds Intermediary Authorisation Code

Intermediary Client/Deal Ref.

Marketing Code

If you need to keep a record of the Confirmation of Verification of Identity of your client, there is a standalone form available on the Cofunds website.

## 2 Personal/Company Details (Please complete this section in full)

**Personal/Company Investor(s) primary holder.** Please see Section 5 to add additional holders.

Existing Cofunds Client Reference

I have not received advice from a financial adviser in relation to this investment.

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
or company name

Male  Female  Date of Birth 

		/			/				
D	D		M	M		Y	Y	Y	Y

For individual investors, please read the following sentence and confirm by ticking the box if applicable. If you can't confirm and tick the box, please complete the Individual FATCA Self-Certification form that can be issued to you by your intermediary.

I confirm that I am solely UK resident for tax purposes and not a US citizen.

Please note that it's a requirement for all joint holders to complete this information.

For corporate investors please ensure that you have completed the Entities FATCA Self-Certification form that can be issued to you by your intermediary.

For corporate investors please ensure you have completed all the signatory requirements in Section 12.

Current permanent residential address	(if registering in the name of a company, please provide the company address here)
Postcode	

Time at this address 

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 yrs 

--	--

 mths

If at current address for less than two years, please supply previous address and time there
Postcode

Time at this address 

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 yrs 

--	--

 mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

## 2A. THIRD PARTY DETAILS (PLEASE COMPLETE IF RELEVANT)

Please complete this section if the person funding all or part of this investment is not the applicant listed in Section 2. A Confirmation of Verification of Identity (CVI) will also be required.

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)

Date of Birth 

		/			/				
D	D		M	M		Y	Y	Y	Y

Current permanent residential address
Postcode

## 3 Segmentation (For intermediary use only)

Only complete this section if the client is not currently segmented or if you wish to change their segment. All clients trading through Cofunds must be assigned to a segment.

Please note we will only update the segment of the primary holder. If you wish to update the segments of any other holders you may do so online by visiting the 'Client Servicing' section of the Cofunds website.

Please enter the name of the segment in full using BLOCK CAPITALS:

If the chosen segment has a Fund Sale Instruction applied your client must be made aware of this. Should you wish to take a charge, please ensure that the applicable charge model is assigned to the segment entered. Please note, the client will only be assigned to the charge model where it is set as mandatory for the chosen segment.

## 4 Designations (You can designate an account here using a maximum of eight alphanumeric characters)

If you wish to specify a unique designation for this account, please ensure that the designation reference does not make a meaningful word. Only the named applicants of this investment will be recognised as beneficial owners. If this section is not completed we will not designate this account. If you are funding this investment from a Cofunds Cash Account please ensure this designation is identical to that of the Cofunds Cash Account.

## 5 Joint Holders

Please include the full name and address of each holder. All correspondence will be sent to the primary holder. Joint holders must have the same investment service as the primary holder.

### Second named holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths
<input type="checkbox"/> I confirm that I am solely UK resident for tax purposes and not a US citizen.

Male     Female     Date of Birth  /  /

D D    M M    Y Y Y Y

If at current address for less than two years, please supply previous address and time there
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths
<i>If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.</i>

### Third named holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths
<input type="checkbox"/> I confirm that I am solely UK resident for tax purposes and not a US citizen.

Male     Female     Date of Birth  /  /

D D    M M    Y Y Y Y

If at current address for less than two years, please supply previous address and time there
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths
<i>If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.</i>

## 6 Funding your investment

I will be funding my investment by (tick all that apply)

<input type="checkbox"/>	<b>Cheque</b>	£ <input type="text"/> . <input type="text"/>	Amount
<input type="checkbox"/>	<b>Cofunds Cash Account</b>	£ <input type="text"/> . <input type="text"/>	Amount

**Monthly Direct Debit** (please ensure you complete the Investment by Direct Debit instruction)

*Please ensure that all the joint holders and the designation (if specified) on this application form match this cash account.*

## 7 Nominated Bank Account

Complete this section if you have not provided us with your nominated bank account details. Please note: you will need to verify this bank account before it can be used in conjunction with your Cofunds account. If you are paying by cheque then no action is required. For all other funding options you can send a void signed cheque or a bank statement issued within the last three months with this application. If you are an existing customer, only complete this section if you would like to change your nominated bank account details. Any change to your nominated bank account will not be applied to your regular monthly investments.

You can only have one nominated bank account at any given time.

Name of account holder
Bank or Building Society name and address
Postcode

Branch Sort Code       -       Bank/Building Society account number   

Building Society Roll Number   

## 8 Income

Complete this section if you have requested income units/shares ('INC'). The option you choose will be applied to all income units/shares you hold within this product.

Note: if you are taking regular withdrawals from your cash account you may only select the 'Cofunds Cash Account' or 'Retain in fund' options.

If you have selected the option to 'Retain in fund' this will only be applied to the commission-free share classes you hold, any commission-included share classes you hold will continue to pay income in accordance with your previous instruction.

**Consolidated monthly income**  
Income generated from your investment funds will be consolidated into your cash account and paid to your nominated bank account on a monthly basis.

**Cofunds Cash Account**  
Income generated will be paid into your cash account to be held on platform for withdrawals or future investment.

**Retain in fund**  
Income generated from this investment will be retained in the fund.

If you do not already hold income units/shares within this product and you do not tick one of these boxes we will select the 'Retain in fund' option by default. If you already hold income units/shares within this product and you do not tick one of these boxes we will apply your existing income option to all funds within this product.

## 9 Investment Selection

Minimum investment £1,000 per fund (lump sum) or £100 per month per fund (monthly savings). For further details about the available funds, please refer to the Key Investor Information Documents (KIID) and/or Fund Key Features Document. A copy of the KIID can be found via the following link [https://www.cofunds.co.uk/Investors/Reports\\_and\\_Accounts\\_Investors.aspx](https://www.cofunds.co.uk/Investors/Reports_and_Accounts_Investors.aspx)

Please ensure the funds are available through Cofunds. You can only choose commission-free share class funds. If you do not indicate the share class, we'll select the commission-free share class fund, where available.

Please note: if your intermediary has agreed exclusive share classes with a fund manager for your selected funds, we'll always invest in that exclusive share class and not the share class you've selected below.

Fund manager, fund name and share class	Type of unit/share (delete as appropriate)*	Lump sum £1,000 per fund (minimum)	New monthly saving £100 per fund (minimum)**
(example) World Equity A Fund	N/A	£	£
	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
<b>TOTAL INVESTMENT AMOUNT</b>		<b>£</b>	<b>£</b>

### \*ACC/INC

If you do not specify ACC or INC in this column, and have not completed Section 8, Cofunds will invest into accumulation units/shares where available.

### Cheque payment

Cheques must either be drawn on your client's own account, joint account or the account of the person detailed in Section 2A (third party details). The cheque must be made payable to Cofunds Limited. For a Building Society cheque or banker's draft your client's name must appear on the front of the cheque, or on the back of the cheque accompanied by the Building Society's or Bank's official stamp and signature. For other methods of funding your client's investment please see Section 6.

### \*\* New monthly saving

This should not be used to amend an existing monthly saving that you have previously set up. Instead please use the Regular Contribution Amendment form.

For monthly savings we will automatically collect on or just after the 25th day of each month. For applications received up until the last day in any month, the first Direct Debit collection will be made on or just after the 25th day of the following month or alternatively please select one of the two following options:

Start as soon as possible  Please specify the date you want your first collection to be taken 2 / 5 / \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## 10 Funding your cash account via cheque

Please complete this section if you wish to fund your cash account via cheque as part of this application.

I wish to place the following amount into my Cofunds Cash Account: £

### Payments

Cheques must either be drawn on your own account, joint account or the account of the person detailed in Section 2A (third party details). For a Building Society cheque or banker's draft your name must appear on the front of the cheque, or on the back of the cheque accompanied by the Building Society's or bank's official stamp and signature.

## 11 Service and Subscription charge (To be completed by the intermediary)

Please note this section must be completed if you want your client's agreement to be processed with this application.

Please ensure this charge applies to the segment the client is assigned to.

### 11A. SERVICE CHARGE

Service Charge model name:  Annual Service Charge\*:  % VAT\*\*  Yes  No

\*If you have a tiered service charge you should enter the highest priced tier.

### 11B. SUBSCRIPTION CHARGE

Subscription Charge model name:  Subscription Charge: £  VAT\*\*  Yes  No

Frequency:  Monthly  Quarterly  Bi-annually  Annually

\*\*NOTE: Cofunds will use the VAT rate that is in place at the end of the month for which the calculation is being performed.

## 12 Declaration and Authorisation

### I confirm that:

I have been provided with the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) and by signing this application form I agree to be bound by them.

I have received the relevant product Key Features and fund specific information and/or Key Investor Information Documents (KIID) relating to my investment.

A copy of the KIID can be found via the following link:

[https://www.cofunds.co.uk/Investors/Reports\\_and\\_Accounts\\_Investors.aspx](https://www.cofunds.co.uk/Investors/Reports_and_Accounts_Investors.aspx)

I understand that there are fees (the Cofunds Platform Charges) for the use of Cofunds services. I authorise Cofunds to collect these fees from my Cofunds Cash Account.

If there is insufficient money in my account, I authorise Cofunds to sell enough of my Platform Assets to pay these fees in accordance with the 'Our Charges' section of the Terms & Conditions of the Cofunds Platform (Self-directed Explicit Pricing).

I understand that the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) are the standard terms upon which Cofunds intends to rely, and it is important that I read and understand the terms before agreeing to be bound by them. If there is any term or point I do not understand or do not wish to be bound by, I understand that I can request further information before signing this application.

I understand that my signed application form (once accepted by Cofunds) together with the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) form my customer agreement with Cofunds Limited.

I understand that instructions may be delayed or rejected if this application form is not complete in all respects.

You may undertake a search with a reference agency for the purposes of verifying my identity. To do so, the reference agency may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained as an identity search.

I declare that the information contained in this application form is correct to the best of my knowledge and belief.

I am aged 18 or over.

I understand and accept that if the fund(s) selected in this form are not available to my intermediary, Cofunds will automatically select a comparable fund available to my intermediary when processing my application. I understand and accept that I am entitled to cancel my application in accordance with the product Key Features or Customer Agreement applicable to the product I am investing in and that if I chose to cancel my application, my investment shall be subject to market movement during the period from the date when my application is processed to the date my investment is sold.

### Fund Sale Instruction

If a Fund Sale Instruction applies to the segment linked to my investment, I accept and agree that funds will be sold to settle any outstanding fees and charges which have accrued prior to this date and all fees and charges payable hereafter.

### Please note that all joint holders must sign this application

Where there are two signatories for a corporate investor, please delete reference to primary and second holder.

### Data Protection

Cofunds Limited is a registered Data Controller and a fully owned subsidiary of Legal & General Group Plc. Cofunds Limited will use your information for the administration and servicing of your investments and all other related activities. We may disclose your information to other companies within the Legal & General group of companies, future owners of our business, and suppliers we engage to process data on our behalf for these purposes. We may also disclose your information to organisations for compliance with legal and regulatory requirements. With the exception of the above provisions, we will not pass on your details to any other third party without your permission, but we will disclose information concerning your investment to your nominated intermediary. Cofunds may transfer your information to countries outside of the EEA for the administration and servicing of your investments. In such cases, contracts will be put in place to ensure that the service providers protect your information in accordance with the requirements of the Data Protection Act or any legislation that may be enacted to replace that Act.

If you require a fund prospectus, please contact your intermediary or Fund Manager directly.

### Service and Subscription Charge

I confirm that I have received my Fees and Charges Schedule and understand which fees and charges are applicable to my investment. I hereby instruct Cofunds to pay my intermediary the Service Charge and/or Subscription Charge specified in Section 11 of this form and in my Fees and Charges Schedule from my relevant payment account.

Cofunds will accept authority from the primary holder only, in most circumstances. For trusts and Powers of Attorney more than one signature may be required.

If I have an active Sale for Regular Payment mandate or the segment linked to my investment applies to a Fund Sale Instruction (as described in my Fees and Charges Schedule) and there is insufficient money within the relevant payment account, I authorise Cofunds to sell enough of my platform assets to pay the Service Charge and/or Subscription Charge in accordance with the relevant Terms and Conditions of the Cofunds Platform or Customer Agreement applicable to my investments/assets.

Primary holder signature X	Date
Capacity (if applicable)	
Second holder signature	Date
Capacity (if applicable)	
Third holder signature	Date
Capacity (if applicable)	

**If you are completing this as a company you must include a copy of the Articles of Association.**



## Instruction to your Bank or Building Society to pay Direct Debits



Please fill in the whole form and send it to:

Cofunds Limited, PO Box 1103, Chelmsford CM99 2XY.

### Name and full postal address of your Bank or Building Society

To the Manager	Bank or Building Society
Address	
Postcode	

Name(s) of Account Holder(s)

Bank/Building Society Account Number

Branch Sort Code

 -  - 

**Banks and Building Societies may not accept Direct Debit instructions from some types of account.**

Service User No.

     

Reference Number

### For Cofunds LTD official use only

This is not part of the instruction to your bank or building society.

### Instruction to your Bank or Building Society

Please pay Cofunds 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 Cofunds Limited and, if so, details will be passed on electronically to my Bank/Building Society.

Signature

Date

**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 Cofunds Ltd will notify you five working days in advance of your account being debited or as otherwise agreed. If you request Cofunds Ltd 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 Cofunds Ltd 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 Cofunds Ltd 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.

