

# Premier Portfolio Management Service

## Application form

### Important

- Please read this document carefully. If you are unclear about anything please speak to your authorised financial adviser. The Premier Portfolio Management Service is only available to investors who are advised by an authorised financial adviser.
- This Application together with the Portfolio Management Service Terms and Conditions form the basis of your Premier Portfolio Management Service account and Premier Fund Managers Limited (“Premier”) will act on your instructions in this application accordingly for the lifetime of the account.
- You may make one free alteration to your account and make one free partial withdrawal in each calendar year, further details of which are set out in the Terms & Conditions. Subsequent alterations and partial withdrawals in that calendar year will incur a charge of £200.
- Where “I” is used in this Application Form, it refers to each of the signatories named in Section 1, and the Declarations in Section 12 are made by each signatory on behalf of all signatories.
- I wish Premier to manage a portfolio of investments for me in accordance with the Terms and Conditions as amended from time to time, a copy of which (**with reference no: 03042016997**) I have received and which I agree to. I understand that signing this Application Form will constitute an Agreement between us incorporating the Terms and Conditions, which will apply to all sums invested by me with Premier now and in the future unless we agree otherwise in writing. In the case of any conflict between this Application Form and the Terms and Conditions, I understand that this Application Form will prevail.

In compliance with the Financial Conduct Authority Rules, we hereby notify you that you will be treated as a Retail Client, based on our internal client categorisation process, which offers you the highest degree of protection under the Financial Conduct Authority Rules. You have the right to request a different categorisation, however, this may limit the level of protection afforded to you and Premier may, in the exercise of its sole discretion, refuse to agree to a different categorisation.

### Checklist

Before you return your application to your financial adviser, please refer to the checklist below:

- You accept the Premier Portfolio Management Service Terms and Conditions (with reference no: 03042016997).
- You have fully completed and signed the Application Form.
- You have enclosed a cheque, made payable to SEI Re Premier Fund Managers Limited. Please note cheques made payable to any other name will be returned and the investment will be delayed.
- If you are applying on behalf of a Trust, you have enclosed a copy of the Trust Deed and a signatory list, and Tax Residency Self-Certification form.
- You have enclosed the relevant Anti-Money Laundering documentation for each individual and/or Trustee on the signatory list (as outlined in Section 7).



### 1. Personal details

'Controlling Persons' include all current trustees, beneficiaries and settlors of the Trust. If there are more than four Reportable Individuals please enclose additional pages with their details.

Name of Applicant/Trust/Entity:

if applicable

Nature and Purpose of Trust:

(e.g. Bare, Life Interest, Discretionary)

#### First Applicant/Trustee

Title:

First name:

Middle name(s):

Surname (family name):

Permanent residential address:

Postcode:

If you have lived at this address for less than 3 years, please advise of previous address:

Postcode:

Telephone numbers (inc STD code):

Work:

Home:

Mobile:

Email address:

Date of birth (DD/MM/YYYY):

Place and country of birth:

Country of Citizenship/Country of Residence/First Passport (if different to place of birth):

National Insurance or other tax reference (compulsory for all applicants)/PSO/Registered Charity Number:

Occupation:

Role (e.g. trustee/beneficiary):

#### Security Identifiers.

Mother's maiden name:

Please provide your own personal security question and answer which may be required each time you telephone for information on your account (for example "what was the name of my first school", "what was my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?").

Security question:

Security answer:

#### 2nd Applicant/Trustee

Title:

First name:

Middle name(s):

Surname (family name):

Permanent residential address:

Postcode:

If you have lived at this address for less than 3 years, please advise of previous address:

Postcode:

Telephone numbers (inc STD code):

Work:

Home:

Mobile:

Email address:

Date of birth (DD/MM/YYYY):

Place and country of birth:

Country of Citizenship/Country of Residence/First Passport (if different to place of birth):

National Insurance or other tax reference (compulsory for all applicants)/PSO/Registered Charity Number:

Occupation:

Role (e.g. trustee/beneficiary):

#### Security Identifiers.

Mother's maiden name:

Please provide your own personal security question and answer which may be required each time you telephone for information on your account (for example "what was the name of my first school", "what was my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?").

Security question:

Security answer:

If there are more than two applicants/trustees, please provide details in Section 9.



## 2. Investment instructions and restrictions

Total investment amount, including Investment Savings Account (ISA) investment and any ISA transfers: £ \_\_\_\_\_  
 Minimum £150,000

**Please note: that if your investment falls below the minimum of £150,000, you may be required to close your account.**

Regular savings £ \_\_\_\_\_ Monthly  Quarterly  Minimum £250 per month and £750 per quarter.

You will need to set-up a regular standing order with your bank or building society and arrange for payment to be transferred to us on the 8th of each month if you wish to make monthly regular savings, or the 8th January, 8th April, 8th July and 8th October if you wish to make quarterly payments. We will send you your account details in your welcome pack to allow you to set this up.

If appropriate, please state the number of: ISA transfers attached: \_\_\_\_\_ or non-ISA transfers attached: \_\_\_\_\_

### (A) Direct investment

Please indicate how much of your total investment is to be divided between a maximum of two of the available portfolios.  
 Minimum £50,000 per portfolio.

	Lump sum			Regular savings
<b>Growth portfolios</b>				
Premier Capital Builder Portfolio	£	or	%	£
Premier Capital Builder Plus Portfolio	£	or	%	£
Premier Conservative Portfolio	£	or	%	£
Premier Balanced Portfolio	£	or	%	£
Premier Balanced Plus Portfolio	£	or	%	£
Premier Growth Portfolio	£	or	%	£
Premier Growth Plus Portfolio	£	or	%	£
Premier Dynamic Growth Portfolio	£	or	%	£
<b>Income portfolios</b>				
Premier Income & Growth Portfolio	£	or	%	£
Premier Income Portfolio	£	or	%	£
Premier High Income Portfolio	£	or	%	£
<b>Total (minimum £150,000)</b>	<b>£</b>	<b>or</b>	<b>100 %</b>	<b>£</b>

### (B) ISA investment - First applicant

Please complete below. The maximum investment for 2020/21 tax year is £20,000.

I apply to subscribe to a stocks and shares ISA as follows:

Total ISA investment amount: £ \_\_\_\_\_ Tax year: 20  / 20  only.

Regular savings £ \_\_\_\_\_ Monthly  Quarterly  Minimum £250 per month and £750 per quarter.

### (C) ISA investment - Second applicant

Please complete below. The maximum investment for 2020/21 tax year is £20,000.

I apply to subscribe to a stocks and shares ISA as follows:

Total ISA investment amount: £ \_\_\_\_\_ Tax year: 20  / 20  only.

Regular savings £ \_\_\_\_\_ Monthly  Quarterly  Minimum £250 per month and £750 per quarter.



### 3. Premier portfolio management fees

Premier Fund Managers Ltd does not charge you a fee for providing the Portfolio Management Service; however charges do apply to the Premier funds which will be included in your portfolio (an annual management charge which for investors investing directly with us is 1%, and other costs paid by the underlying Premier funds, such as fees for the auditor, registrar, regulator, custodian, depositary or trustee, plus the annual charges for the underlying funds held in the Premier multi-asset funds, which are subject to change and will fluctuate). The latest total ongoing charges for Premier's range of funds are published in our total costs and charges document. Ongoing charges for each portfolio are published in the Premier Portfolio Management Service Investor Guide. Both documents are available on our website.

### 4. Income and regular withdrawal options (please complete for all portfolios)

You may take natural or fixed income from your portfolio. You can choose to have any income generated by your portfolio paid monthly or quarterly. The income will be paid into your nominated bank or building society account on, or around, 20th of each month, if paid monthly, or on, or around, 20th January, 20th April, 20th July & 20th October if paid quarterly, unless these dates fall on a bank holiday or weekend, in which case payment may be made on the next business day. Please refer to the Investor Guide for when the first payment is due.

**Natural income**

Please indicate how you wish us to treat any natural income generated from your portfolio.

Income reinvested

Income distributed  Monthly  Quarterly

**Please note: if you are invested in a growth portfolio, income may not be generated.**

**Fixed regular withdrawal**

If you wish to receive a fixed regular withdrawal from your portfolio, please indicate the amount required below and whether this is to be paid to you monthly or quarterly.

I wish to receive a fixed withdrawal of £ \_\_\_\_\_ Monthly  Quarterly  Minimum £250 per month and £750 per quarter

Commencing

**Please note: fixed regular withdrawals are generated by cashing-in portfolio units. Taking regular withdrawals can increase the risk of erosion of your investment if the amount you receive exceeds the natural income or growth generated by your portfolio. If a fixed regular withdrawal takes the value of your account below the minimum holding level of £150,000, we reserve the right not to action this.**

### 5. Bank/Building Society details for payments to you

Please complete your account details below in order that we can make any income payments or redemption payments to your bank or building society.

**Please inform us if you change your bank account, as you will need to provide new evidence so we can verify the account.**

Bank/Building Society: \_\_\_\_\_

Address: \_\_\_\_\_ Postcode: \_\_\_\_\_

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Name of account to be credited: \_\_\_\_\_

Sort code:   -   -   Account number:

Building Society reference or roll number:

For anti-money laundering purposes, we need to verify that the account is held in your name. Please provide one of the following items for the bank account you have provided details for above:

- An original voided cheque
- An original paying in slip (usually found at the back of your cheque book)
- A bank statement (not older than six months), as follows:
  - Either an original
  - Or a copy, certified by an appropriate person (your financial adviser, solicitor, accountant, or your bank/building society manager)
- Internet based bank statements are not acceptable

### 6. Payments to your financial adviser (if applicable)

Financial adviser initial payment \_\_\_\_\_ % or £ \_\_\_\_\_ Tick if subject to VAT: Yes  No

Please state which type of payment this applies to:

Lump sum: Yes  No  Regular savings: Yes  No

ISA transfer: Yes  No  Non-ISA transfer: Yes  No

Financial adviser payment for continuing services, please select one of the options below:

Nil  0.25% p.a.  0.5% p.a.  0.75% p.a.  1%p.a.  Tick if subject to VAT: Yes  No

Once the application has been processed, we will be unable to alter the VAT status indicated above.

**Please note: By completing the above you instruct us to deduct any initial payment from your investment with the balance invested into your portfolio, and all other ongoing payments directly from your portfolio. Premier is not responsible for accounting for any VAT on these payments.**

### 7. Verification of identity and financial adviser details

Financial advisers, please complete the following section for all applicants (please copy this page if necessary before completing).

#### 1st Applicant/Trustee

Date of commencement of business relationship:

I confirm that: (please tick as appropriate)

- I have verified the identity of the Applicant in accordance with the Money Laundering Regulations 2017 and the necessary documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name, address and date of birth as shown in Section 1 are correct.
- I have enclosed certified copies of the following required documents, with the appropriate certification wording as set out below:
  - Proof of identity      Certified copy of a valid passport or driving licence
  - Proof of address      Certified copy of bank statement or utility bill (not older than six months) or certified copy of full driving licence if not used as proof of identity. Internet based bank statements or utility bills are not acceptable.

#### Certified copies

Please provide a copy of the original document and use the following wording to make certified copies:

For original documents that DO NOT include photo identification of the Applicant (eg, recent bank statement or utility bills):  
 I certify that this is a true copy of the original document which I have seen.

For original documents that DO include photo identification of the Applicant (eg, valid passport or full driving licence):  
 I certify that this is a true likeness of [insert full name of Applicant] and this is a true copy of the original document which I have seen.

In each case, you should then add your signature and below it, print your full name, occupation, business address and telephone number (including STD).

I confirm that the Applicant is applying on his/her own behalf and not as nominee or in a fiduciary capacity for any other person.

Financial adviser signature: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_ Date:

Full name of regulated firm: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Postcode: \_\_\_\_\_

Email address: \_\_\_\_\_

FCA reference number: \_\_\_\_\_

Telephone number: \_\_\_\_\_



Second Applicant/Trustee

Date of commencement of business relationship: DDMMYYYY

I confirm that: (please tick as appropriate)

- I have verified the identity of the Applicant in accordance with the Money Laundering Regulations 2017 and the necessary documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name, address and date of birth as shown in Section 1 are correct.
- I have enclosed certified copies of the following required documents, with the appropriate certification wording as set out below:
  - Proof of identity      Certified copy of a valid passport or driving licence.
  - Proof of address      Certified copy of bank statement or utility bill (not older than six months) or certified copy of full driving licence if not used as proof of identity. Internet based bank statements or utility bills are not acceptable.

**Certified copies**

Please provide a copy of the original document and use the following wording to make certified copies:

For original documents that DO NOT include photo identification of the Applicant (eg, recent bank statement or utility bills):  
 I certify that this is a true copy of the original document which I have seen.

For original documents that DO include photo identification of the Applicant (eg, valid passport or full driving licence):  
 I certify that this is a true likeness of [insert full name of Applicant] and this is a true copy of the original document which I have seen.

In each case, you should then add your signature and below it, print your full name, occupation, business address and telephone number (including STD).

I confirm that the Applicant is applying on his/her own behalf and not as nominee or in a fiduciary capacity for any other person.

Financial adviser signature: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_ Date: DDMMYYYY

Full name of regulated firm: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Email address: \_\_\_\_\_

FCA reference number: \_\_\_\_\_

Telephone number: \_\_\_\_\_

### 8. Reporting requirements

Address for correspondence if different from the address shown in Section 1:

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Postcode:

**Your financial adviser will automatically receive copies of all correspondence sent to you.**

Please give the name(s) and address(es) of any person(s) who should receive copies of communications from us:

Name:

Address:

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Postcode:

### 9. Additional applicant/trustees

#### Third applicant/trustee/recipient

Title: First name:

Middle name(s):

Surname (family name):

Address:

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Postcode:

Email address:

Date of birth (DD/MM/YYYY): 

D	D	M	M	Y	Y	Y	Y
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Place and country of birth:

Country of Citizenship/Country of Residence/First Passport (if different to place of birth):

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National Insurance or other tax reference (compulsory for all applicants)/PSO/Registered Charity Number:

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Occupation:

Role (e.g. trustee/beneficiary):

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#### Security Identifiers.

Mother's maiden name:

Please provide your own personal security question and answer which may be required each time you telephone for information on your account (for example "what was the name of my first school", "what was my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?").

Security question:

Security answer:

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#### Fourth applicant/trustee/recipient

Title: First name:

Middle name(s):

Surname (family name):

Address:

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Postcode:

Email address:

Date of birth (DD/MM/YYYY): 

D	D	M	M	Y	Y	Y	Y
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Place and country of birth:

Country of Citizenship/Country of Residence/First Passport (if different to place of birth):

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National Insurance or other tax reference (compulsory for all applicants)/PSO/Registered Charity Number:

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Occupation:

Role (e.g. trustee/beneficiary):

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#### Security Identifiers.

Mother's maiden name:

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Please provide your own personal security question and answer which may be required each time you telephone for information on your account (for example "what was the name of my first school", "what was my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend?").

Security question:

Security answer:

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### 10. Tax residency self-certification (for organisations only)

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account with HMRC. Please complete all relevant sections as directed. If you have any questions about the information requested please consult your tax adviser.

#### 1. Tax residency

If your organisation has more than one country or crown dependency of tax residency, please complete one self-certification form for each country.

Please state the country or crown dependency in which your organisation is resident for tax purposes:

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Please provide us with your organisation's Tax Reference Number:

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If the organisation is not a Specified Person in the country stated above, please tick this box:

#### 2. Organisation's classification under applicable tax regulations

Please tick one box only in section A, with reference to the tax residency.



**A.) Classification**

- UK Financial Institution or a Partner Jurisdiction Financial Institution
- Participating Foreign Financial Institution
- Non-Participating Foreign Financial Institution
- Financial Institution resident in the USA or in a US Territory
- Deemed Compliant Foreign Financial Institution (besides those listed above)
- Exempt Beneficial Owner
- Active Non-Financial Entity
- Passive Non-Financial Entity (PNFE)
- Professionally managed investment entity participating jurisdiction
- Professionally managed investment entity non participating jurisdiction

**(B.) If your organisation is a financial institution, please tick this box if it is an Investment Entity.**

- An Investment Entity or PNFE will be required to submit individual tax residence self-certifications for each of its Controlling Persons.

**Section 11. Online Valuation Service**

Our Online Valuation Service allows you to access information about your Portfolio and carry out valuations. If you would like access to the Online Valuation Service, provide your email address below and we will email log-in instructions to you.

Email Address: \_\_\_\_\_

If you elect to access the Online Valuation Service, you acknowledge that you accept the terms of usage in the Premier Portfolio Management Service Terms and Conditions.

**Section 12. Declaration**

I confirm that I accept and agree to the Terms and Conditions of the Premier Portfolio Management Service. I confirm that I have full and unrestricted power to employ and hereby appoint Premier on the terms of the Agreement. I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify Premier immediately in the event of information about my tax residency changing.

Where I am the trustee of an Occupational Pension Scheme, Premier is appointed for the purposes of the Pensions Act 1995 and the Occupational Pension Schemes (Scheme Administration) Regulations 1996.

Where I am a SIPP manager not providing details of an underlying client, I confirm that I am purchasing the investments in the portfolio as legal and beneficial owner and that I will be responsible for compliance with all applicable client identification and verification checks for anti-money laundering purposes as dictated by current regulations and other purposes on my underlying clients.

I accept and agree to the risk warnings and notifications contained in the Terms and Conditions and the nature of the underlying investments in which my Portfolio will be invested in accordance with the Investment Strategy indicated in this Application Form.

I confirm that the investments and/or cash comprising the Portfolio are owned beneficially by me and are free from all liens and I undertake that none will arise from my acts or omissions.

I agree to indemnify Premier against all costs, losses, claims and expenses incurred in connection with the provision of the Premier Portfolio Management Service to me, except where these have been incurred due to Premier's negligence, wilful default or fraud. Where I am a trustee, my liability is limited, in the absence of fraud, to the assets of the trust from time to time.

I confirm that the information provided to Premier or any competent authority in relation to my status, residence and domicile for taxation and money laundering purposes is complete and correct and I agree to promptly provide any further information properly required by any competent authority or by Premier in order to comply with its regulatory and contractual obligations and to notify Premier promptly if there is any material change in the information provided. I acknowledge that my failure to provide information requested by Premier may adversely affect Premier's ability to provide services under the Agreement and the quality of services that Premier may provide.

Where I am entering into the Agreement by Distance Contract, I request Premier to commence performance of its obligations under the Agreement on the effective date of the Agreement as specified in the Terms and Conditions and I acknowledge that this date may be before the end of the cancellation period referred to in the Terms and Conditions.

- Please tick this box if this is the case.

Where I have applied for the Online Valuation Service, I confirm that I agree to its terms as stated in the Terms and Conditions.

Where a financial adviser acts on my behalf, I instruct Premier to pay to my financial adviser an initial payment and a payment for continuing services as stated in Section 6. I understand that the initial payment will be deducted from the value of my portfolio and that Premier will, if required, sell part of my investments to raise funds to cover any payment for continuing services owed to my adviser.





**For ISA investors:**

I apply to subscribe for the Premier Portfolio ISA.

I declare that:

- I am aged 18 or over.
- I am resident in the United Kingdom for tax purposes, or if not so resident, perform duties which, by virtue of Section 28 of the Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or am married to, or in a civil partnership with, a person who performs such duties, and will inform Premier Fund Managers Limited if I cease to be so resident, or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
- I have not subscribed, and will not subscribe more than the overall subscription amount in total to a cash ISA and a stocks and shares 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.
- All subscriptions made, and to be made, belong to me and I am the beneficial owner of the funds being used for this ISA.
- I accept and agree to the ISA Terms of the Premier Portfolio Management Service Terms and Conditions and agree to be bound by them.
- I declare that the information given in this Application Form is true and correct to the best of my knowledge and belief. I will notify Premier Fund Managers Limited without delay of any change in the information given.

**I authorise Premier Fund Managers Limited:**

- To receive and hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash in the ISA.
- To make on my behalf any claims to relief from tax in respect of the ISA investments.

**Money Laundering Regulations 2017:**

Under these regulations there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity and date of birth. This will normally be a passport or similar form of identity check together with proof of address from a recent utility bill (not a mobile telephone bill). Additionally, electronic checking systems may be used to verify identity, including credit agencies which may keep a record of this information although this is only to verify your identity and will not affect your credit rating.

I understand that you will undertake a search with a Credit Reference Agency for the purposes of verifying my identity. To do so the Credit 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.

**Data Protection**

I agree to the following:

- The information I provide on this application form (or subsequently provide) will be held and processed by Premier as data controller.
- Premier may hold and process information for the administration of the service(s) for which I am currently applying or may apply for in the future, for the operation of my investment in units or shares (e.g. for registration and distribution purposes).
- Premier may transfer information to other companies in the Premier Miton Investors marketing group and to third party agents of such companies or Premier for any of the above purposes. Such third party agents may be in countries located outside of the European Economic Area (EEA). Premier will take steps to ensure that my privacy rights are respected since these countries may not have comprehensive data protection and other laws as countries in the EEA.
- Where a financial adviser acts on my behalf, Premier will disclose information concerning my investment to that financial adviser.
- Save as noted above, Premier will not provide to any other third party any information relating to me, unless I have given my consent or unless Premier is required to do so by law.

You are entitled to request details of information we may hold about you and to require us to correct any inaccuracies in your personal data.

**Additional declaration for trustees only**

We appoint Premier under the power and authority given to us by the Trust Deed and we delegate to Premier Fund Managers Limited the investment of the Trust property delivered to Premier Fund Managers Limited from time to time under the terms of the Agreement. We hereby represent and warrant that we are empowered by the said Trust Deed to delegate our function in the manner described above.

I declare that this Application Form has been completed to the best of my knowledge and belief.

Please submit a certified copy of the Trust Deed and signatory list, and a copy of the Tax Residency Self-Certification form with this application in order for us to verify the signature(s) of the Trustee(s). If an application is for a trust investment, we may need to verify the identity of all trustees, depending on the Trust Deed.



**Declaration to be signed by all Applicants/Trustees**

1st Applicant/Trustee

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Name:

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Signature:

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Date:

2nd Applicant/Trustee

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Name:

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Signature:

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Date:

3rd Applicant/Trustee

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Name:

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Signature:

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Date:

4th Applicant/Trustee

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Name:

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Signature:

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Date:



## Data Protection Notice

This notice sets out how Premier Fund Managers Limited ("PFM", "we" or "us") will process personal information (as a Data Controller).

Where your details are provided to PFM as a consequence of your engaging PFM to provide the Premier Portfolio Management Service, including investment in the Premier Funds (the "Funds"), then PFM, acting as a data controller may itself (or through a third party such as SEI Investments (Europe) Limited (the "Custodian") acting in its capacity as your custodian) process your personal information or that of your representatives, such as trustees, beneficial owners, or directors. When processing your personal information, there may also be times where the Custodian will act as a data controller.

To the extent that the Custodian is required by applicable laws to act as a data controller in processing your personal data, the Custodian's privacy notice is on its website: [www.seic.com/en-gb](http://www.seic.com/en-gb)

Please note the following:

### Purposes of Processing and Legal basis for processing

Your personal data may be processed by PFM or the Custodian (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- To facilitate the opening of your account with PFM, the management and administration of your investments in the Premier Portfolio Management Service, including the Funds, or otherwise and any related account on an on-going basis (the "Services") which are necessary for the performance of your contract, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- In order to carry out anti-money laundering checks and related actions which PFM considers appropriate to meet any legal obligations imposed on PFM or the Funds relating to, or the processing in the public interest or to pursue PFM or the Funds' legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with PFM's anti-money laundering procedures;
- To report tax related information to tax authorities in order to comply with a legal obligation;
- To monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend PFM or the Funds and its affiliates', itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on PFM or the Funds, (v) to pursue PFM's or the Funds' legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- To disclose information to other third parties such as service providers of PFM or the Funds, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on PFM or the Funds or in order to pursue the legitimate interests of PFM or the Funds;
- To monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of PFM or the Funds to improve service delivery;
- To update and maintain records and fee calculation;
- To retain AML and other records of individuals to assist with the subsequent screening of them;

and which are necessary to comply with PFM's or the Custodian's legal obligations and/or which are necessary for PFM's or the Custodian's legitimate interests indicated above and/or the processing is in the public interest.

### Recipients of Data and International Transfer of Data

We may disclose your personal information as follows:

- To service providers, including the Custodian, and their affiliates, and other third party service providers engaged in order to process the data for the above mentioned purposes;
- To competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. We have authorised the Custodian as our agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact us and we will contact the Custodian for copies of the Standard Contractual Clauses.

### Retention period

We and the Custodian will retain your personal information for as long as required for us or the Custodian to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate the retention of your personal information.



### Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where we or the Custodian require your personal information to comply with AML or other legal requirements, failure to provide this information means we may not be able to accept you as a client of the Premier Portfolio Management Service.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by us or the Custodians or our service providers infringes the General Data Protection Regulation. In the UK this is the Information Commissioner's Office.

### Contact us

Premier Fund Managers Limited, Eastgate Court, High Street, Guildford, Surrey, GU1 3DE

0333 456 1122

[investorservices@premiermiton.com](mailto:investorservices@premiermiton.com)

For your protection, calls may be monitored and recorded for training and quality assurance purposes.



### ISA transfer

If you need more instruction forms, please photocopy this sheet before completing.

#### Instruction to existing ISA Manager

Please transfer my existing ISA to Premier Fund Managers Limited as instructed below.

Please sell my entire holding  OR Please sell £ \_\_\_\_\_ of my holding estimated value.

Name of existing Plan Manager: \_\_\_\_\_

Address of existing Plan Manager: \_\_\_\_\_

Postcode: \_\_\_\_\_

Account number:

Account name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:

Note to existing Plan Manager: we confirm that we are willing to accept the transfer in the form of cash only.

#### Instruction to existing ISA Manager

Please transfer my existing ISA to Premier Fund Managers Limited as instructed below.

Please sell my entire holding  OR Please sell £ \_\_\_\_\_ of my holding estimated value.

Name of existing Plan Manager: \_\_\_\_\_

Address of existing Plan Manager: \_\_\_\_\_

Postcode: \_\_\_\_\_

Account number:

Account name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:

Note to existing Plan Manager: we confirm that we are willing to accept the transfer in the form of cash only.

#### Instruction to existing ISA Manager

Please transfer my existing ISA to Premier Fund Managers Limited as instructed below.

Please sell my entire holding  OR Please sell £ \_\_\_\_\_ of my holding estimated value.

Name of existing Plan Manager: \_\_\_\_\_

Address of existing Plan Manager: \_\_\_\_\_

Postcode: \_\_\_\_\_

Account number:

Account name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:

Note to existing Plan Manager: we confirm that we are willing to accept the transfer in the form of cash only.

