

# Investment Funds

## Individual Investor application form

This application form should only be used for funds provided by BMO Fund Management Limited.

This form is an offer to enter into an agreement that covers your transactions with BMO Fund Management Limited (trading as BMO Global Asset Management). Your investment will be administered by BMO Fund Management Limited.

Before completing the Application Form please ensure that you have read the relevant Key Investor Information Document(s) and Terms and Conditions. All registered holders must be over 18 years of age and not US Nationals/Persons.

This form may be used by advisers for clients wishing to apply directly to BMO Fund Management Limited. If however the financial adviser section is not completed this application may be rejected where the amount invested is less than the published investment minimum amount for these share classes.

Registered holders - A maximum of 4 joint holders can be registered. Please note that all correspondence will be sent to the first registered holder.

All personal information submitted with this application form will be treated in accordance with BMO Fund Management Limited Privacy Notice which is available at: [www.bmogam.com/corporate/privacy](http://www.bmogam.com/corporate/privacy).

Please use BLOCK CAPITALS and black ink throughout and ensure you have signed the Declaration in Part 4.

### Part 1 Investor Details – *this section must be completed*

Please enter your existing investment account number here (if you have one):

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Title	First names (in full)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address (including postcode)

<input type="text"/>
Postcode

Daytime telephone number	Evening telephone number
<input type="text"/>	<input type="text"/>

Date of birth	Sex	Nationality
<input type="text"/>	Male <input type="checkbox"/> Female <input type="checkbox"/>	<input type="text"/>

What is your intended use for this account? Are you investing for:

Retirement  Education  Income  Capital growth  Other

#### Second registered holder details

Title	First names (in full)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address (including postcode)

<input type="text"/>
Postcode

Daytime telephone number	Evening telephone number
<input type="text"/>	<input type="text"/>

Date of birth	Sex	Nationality
<input type="text"/>	Male <input type="checkbox"/> Female <input type="checkbox"/>	<input type="text"/>

**Part 1** Investor Details – *this section must be completed (continued)*

**Third registered holder details**

Title  First names (in full)  Surname

Permanent residential address (including postcode)  
  
 Postcode

Daytime telephone number  Evening telephone number

Date of birth  Sex Male  Female  Nationality

**Fourth registered holder details**

Title  First names (in full)  Surname

Permanent residential address (including postcode)  
  
 Postcode

Daytime telephone number  Evening telephone number

Date of birth  Sex Male  Female  Nationality

You may enter a designation to distinguish a new BMO Fund Management Limited account from any existing BMO Fund Management Limited account(s) you hold. The designation can be up to a maximum of twenty four characters and must comprise of letters and numbers only.

Account designation (if required)

**Part 2** Investment Details – *this section must be completed*

You can choose to invest with a lump sum and/or through regular savings. Please list the fund(s) you wish to invest in and the amount per fund.

Fund	Tick if you want to receive income shares or accumulation shares		Lump Sum Amount (min £1,000 per fund or £10,200 if taking regular withdrawals)	Regular Savings Amount (min £50)
	Accumulation	Income		

**Regular savings** If making monthly payments you must fill in the Direct Debit form.

Lump sum investments can be made in addition to monthly payments. You will need to enclose a cheque for the first payment.

**Income Payments** If you have selected income shares the income (interest or dividends) from your investments will be automatically paid out. If you wish to receive the income from your investment into your Bank/Building Society Account you will need to complete your Bank/Building Society details in Part 3. However if you have selected the BMO Multi-Sector Bond Fund, BMO Multi-Sector Higher Income Bond Fund, BMO US Smaller Companies Fund or BMO Diversified Monthly Income Fund and want income to be re-invested, please tick this box

This section only needs to be completed if you wish to receive the income (interest or dividends) from your investment. If you are interested in taking regular withdrawals from your investment, please request information on our Selector facility by calling 0800 085 2752. This facility is not available with regular savings or if the income is being paid out to you.



### Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send to:  
BMO Fund Management Limited, PO Box 9040, Chelmsford, Essex CM99 2XH.

**Name and full postal address of your bank or building society**

To: The Manager	Bank/building society
Address	
Postcode	

**Name(s) of account holder(s)**

**Bank/building society account number**

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**Branch sort code**

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**Service user number**

8	2	4	3	6	1
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**Reference**

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**Instruction to your bank or building society**

Please pay BMO Fund 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 BMO Fund Management Limited and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date

BMO Global Asset Management is a trading name of BMO Fund Management Limited, which is authorised and regulated by the Financial Conduct Authority.



Banks and building societies may not accept Direct 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 BMO Fund Management Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request BMO Fund 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 BMO Fund 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 BMO Fund 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.

### Part 3 Bank/Building Society Details – for Distribution Income

Name of bank or building society

Address

Postcode

Sort code

Account number

Account Name as held by Bank or Building Society

Bank account name must be in the same name as the BMO account being opened.

Roll number (if applicable)

### Part 4 Declaration & authorisation – this section must be completed

**I/We have received advice on this investment decision.** Yes  No

(Please tick one box to confirm. The instructions will be processed on the basis that the decision was advised if left blank.)

**All investors:**

1. I/We declare that the information given on this completed application form is current and to the best of my/our knowledge.
2. I/We are aged 18 years or more.
3. I/We confirm that I/we have seen the current Key Investor Information Document for each share classes applied for in Part 2.
4. I/We agree to be bound by the terms & conditions relating to the plan and to inform BMO Fund Management Limited in writing immediately of any change in my circumstances.
5. I/We understand that this application is subject to acceptance by BMO Fund Management Limited and that BMO Fund Management Limited may act on instruction from my/our financial adviser.
6. I/We the signatories are the beneficial owner(s) of the investments in the account (If not the case please delete and provide details of the beneficial owners in the name and address box in Part 5.
7. I/We confirm I/we are not a US person (as defined in the Prospectus) and that the interests are not being acquired for the benefit or account of, directly or indirectly, a US Person.
8. I am resident only in the UK for tax purposes. If this is not correct, I have completed part 6 below.

**Part 4**

**Declaration & authorisation – this section must be completed (continued)**

- 9. I/We authorise BMO Fund Management Limited to disclose any information relating to my/our account to the Financial Conduct Authority, HMRC or to make such disclosure as otherwise required by law, including anti-money laundering and anti-terrorism laws. BMO Fund Management Limited may be obliged to make disclosures regarding such information to comply with the requirements of applicable law or regulation and/or the requirements of UK and other competent authorities.
- 10. I/We authorise BMO Fund Management Limited to undertake any necessary searches of the electoral roll and credit reference agencies.
- 11. I/We understand that money laundering regulations may require BMO Fund Management Limited to verify my identity and permanent residential address through searches of the electoral roll and credit reference agencies and that these agencies may keep a record of BMO Fund Management Limited's enquiry. I further understand that BMO Fund Management Limited may also need to write to me for additional documentation confirming my identity and permanent residential address. All applications will be processed on receipt, however BMO Fund Management Limited reserves the right not to issue Shares to me nor make payments in respect of my investment until satisfactory proof of my identity and permanent residential address is provided.

**Data Protection**

All personal information submitted with this application form will be treated in accordance with BMO Fund Management Limited's Privacy Notice which is available at: [www.bmogam.com/corporate/privacy](http://www.bmogam.com/corporate/privacy). In the Privacy Summary Statement included with this application form, we have provided you with some key information about how we process your personal information. There is a lot more information contained in our Privacy Notice, which we recommend that you read. Should you have any questions regarding how we process your personal information, we have provided you with key contact information in the Privacy Summary Statement, as well as in our Privacy Notice.

**Marketing**

We would like to provide you with details of financial services and products that we offer which we think you might find interesting. **If you would NOT like to receive such information, please tick this box** .

If at any time you change your mind, please let us know by emailing us at [preferences@bmogam.com](mailto:preferences@bmogam.com). For full details of how we use your personal information, please visit [www.bmogam.com/privacy](http://www.bmogam.com/privacy).

**All applicants must sign below**

Signature (1st registered holder)	<input style="width: 100%; height: 25px;" type="text"/>	Date	<input style="width: 100%; height: 25px;" type="text"/>
Signature (2nd registered holder)	<input style="width: 100%; height: 25px;" type="text"/>	Date	<input style="width: 100%; height: 25px;" type="text"/>
Signature (3rd registered holder)	<input style="width: 100%; height: 25px;" type="text"/>	Date	<input style="width: 100%; height: 25px;" type="text"/>
Signature (4th registered holder)	<input style="width: 100%; height: 25px;" type="text"/>	Date	<input style="width: 100%; height: 25px;" type="text"/>

**Part 5**

**Beneficial owner details**

<b>Beneficial owner 1:</b>
Title: <input style="width: 80%;" type="text"/> Forename: <input style="width: 20%;" type="text"/>
Surname: <input style="width: 100%;" type="text"/>
Date of Birth: <input style="width: 100%;" type="text"/>
Address: <input style="width: 100%; height: 40px;" type="text"/>

<b>Beneficial owner 2:</b>
Title: <input style="width: 80%;" type="text"/> Forename: <input style="width: 20%;" type="text"/>
Surname: <input style="width: 100%;" type="text"/>
Date of Birth: <input style="width: 100%;" type="text"/>
Address: <input style="width: 100%; height: 40px;" type="text"/>

<b>Beneficial owner 3:</b>
Title: <input style="width: 80%;" type="text"/> Forename: <input style="width: 20%;" type="text"/>
Surname: <input style="width: 100%;" type="text"/>
Date of Birth: <input style="width: 100%;" type="text"/>
Address: <input style="width: 100%; height: 40px;" type="text"/>

<b>Beneficial owner 4:</b>
Title: <input style="width: 80%;" type="text"/> Forename: <input style="width: 20%;" type="text"/>
Surname: <input style="width: 100%;" type="text"/>
Date of Birth: <input style="width: 100%;" type="text"/>
Address: <input style="width: 100%; height: 40px;" type="text"/>

If there is insufficient space above to list all the relevant individuals please continue on a separate sheet of paper and attach to the form.

**Part 6** Individual Self-Certification Form – *this section must be completed*

**Tax residency**

Tax regulations<sup>1</sup> require us to collect information about each investor's tax residency<sup>2</sup>. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with Her Majesty's Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions<sup>3</sup>.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency<sup>2</sup>, please contact your tax adviser.

Country/Countries of Tax Residency	Tax Identification Number*

**Declaration**

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 BMO Fund Management Limited immediately if any of this information changes in the future.

Name (please print in full):

Permanent Residence Address:

Postcode	Country

Date of Birth (dd/mm/yyyy)\*:

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Date (dd/mm/yyyy):

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Signature:

<sup>1</sup> The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

<sup>2</sup> In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.

<sup>3</sup> Those countries that have agreed to exchange information under FATCA and the CRS<sup>1</sup>.

\* If you are a UK Tax resident and not a tax resident anywhere else and also not a US citizen, you are not required to provide details of your 'Tax Identification Number' or 'Date of Birth', or if you are not resident in a jurisdiction that is reportable under CRS or FATCA and also not a US citizen, you are not required to provide your 'Tax Identification Number' or 'Date of Birth'.

**Part 7****For Financial Adviser Use only –***this section must be completed in full for advised business. The form may be rejected if the fields have not been filled in.*

Company name

Company address including postcode

Postcode

Agent code\*

FCA number

\*This number can be located on your commission statement.

Name of Network or Service Provider you are affiliated with (if relevant)

Please tick to confirm that certified proof of the client identity and permanent residential address is enclosed If you have already spoken to the dealing desk on **0870 601 6183** with this order please insert the deal reference number below.This transaction is subject to the current BMO Fund Management Limited Terms of Business for Independent Intermediaries available within the literature library at [bmogam.com/adviser](http://bmogam.com/adviser)**Application checklist**

1. Make sure you have completed each part of the application and signed the Declaration in Part 4.
2. Lump sums – please make your cheque payable to **BMO Fund Management Limited** and enclose it with your application.
3. Regular savings – please enclose a cheque for the first payment and make sure you complete the Direct Debit Instruction.
4. Any cheques or Direct Debits payable to BMO Fund Management Limited must be drawn from an account in the name of the applicant.
- 5. Where the application is supported by a building society cheque or bankers draft please state the name and account number from which the funds have been drawn either on the front of the cheque, on the back of the cheque together with the branch stamp, or by way of other supporting document.**

Please send your application, together with your cheque and any other relevant information as specified, to your financial adviser, or to:

BMO Fund Management Limited  
 PO Box 9040,  
 Chelmsford,  
 Essex  
 CM99 2XH

If you have any queries about completing your application please call us on:

**0800 085 2752**

If you are interested in the Fund(s) and contact us about them, or already hold shares or units in a Fund, we are likely to process personal information about you. As such, and in accordance with our obligations under data protection law, BMO Fund Management Limited's privacy notice provides details about our processing of your personal information. The most up to date version of the Privacy Notice is available online at [www.bmogam.com/corporate/privacy](http://www.bmogam.com/corporate/privacy).

Our Privacy Notice provides you with important information about how, when, and why we collect and process your personal information. The Privacy Notice also provides you with information regarding your rights in relation to the personal information which we process about you and our responsibilities in that regard.

As ISA manager, when we process your personal information, it is being processed:

1. to comply with our legal obligations, such as our financial regulatory obligations (which include the obligation to record calls and monitor trades), identity verification and anti-money-laundering obligations amongst others specified in our Privacy Notice;
2. where it is necessary for us to provide our services to you, which includes, for example undertaking transactions in relation to your investments, communicating with you about your investments and any changes to them or their performance amongst others specified in our Privacy Notice;
3. where it is necessary for our legitimate interests (so long as those legitimate interests are not overridden by your interests or fundamental rights). Those legitimate interests include monitoring calls for training, quality and security purposes, testing our products and services to ensure that they are performing to their best potential (and therefore your financial benefit), contacting you about updates to our Privacy Policy and other document amendments, appointing third party contractors to assist us carry our services amongst others specified in our Privacy Notice;
4. where it is necessary for the performance of a task which is in the public interest, such as assisting with regulatory and/or other law enforcement investigations, as well as for our ability to have appropriate conversations and dialogue with regulators in relation to our business practices; and/or
5. where you have given your consent, such as when you have agreed to receive marketing communications from us, or where you have consented or instructed us to provide information to a third party (such as your financial advisor), or where you have volunteered personal information to us during correspondence amongst others specified in our Privacy Notice.

We can confirm that when you provide personal information to us, it will be shared with other third parties and further information is provided about this in the Privacy Notice. We can also advise you that your personal information will be sent outside of the European Economic Area and our Privacy Notice gives you guidance on how to obtain further information about these transfers, if you would like to know more about them.

As you may be aware, when we process personal information about you, you have certain rights in relation to your personal information and we are under various obligations in relation to the same. Included within the Privacy Notice is information about your rights, and how you can contact us about exercising them.

The above is a summary of the key aspects of how we process your personal information, and important aspects of our Privacy Notice which we consider that you may be most interested in. There is a lot more information and detail on each of the above topics, and other information about how we process your personal information which is contained within our Privacy Notice. We recommend that you take time to read our Privacy Notice, or use it as your first port of call in the event you have a question about our processing of your personal information. Of course, if you have any questions, you can also contact us directly using the below information.

[www.bmogam.com/corporate/privacy](http://www.bmogam.com/corporate/privacy)

Please contact our Data Protection Office if you have any questions about our privacy notice or information we hold about you.

**Email:** [DPO@columbiathreadneedle.com](mailto:DPO@columbiathreadneedle.com)

**Write:** Data Protection Office  
BMO Global Asset Management EMEA  
Cannon Place  
78 Cannon Street  
London EC4N 6AG  
United Kingdom