

INSIGHT INVESTMENT DISCRETIONARY FUNDS ICVC APPLICATION FORM – NON-PENSION SCHEMES



Please complete this application and return to: Insight Investment Funds Management Limited, PO Box 374, Darlington DL1 9RR.
Please refer to notes (Section 10) and ensure that all necessary enclosures are submitted with this application form. Defined terms used in this form shall have the meaning given to them in the prospectus.

This application form is for use by institutional investors wishing to invest in any of the following sub-funds of the Insight Investment Discretionary Funds ICVC (the "OEIC"):

- Insight Investment UK Broad Market Bond Fund
- Insight Investment UK Corporate All Maturities Bond Fund
- Insight Investment UK Corporate Long Maturities Bond Fund
- Insight Investment UK Government All Maturities Bond Fund
- Insight Investment UK Government Long Maturities Bond Fund
- Insight Investment UK Index-linked Bond Fund

The agreement between you and Insight Investment Funds Management Limited (the "ACD") for investment into your chosen Funds will come into effect when a correctly completed application form and related subscription monies (and any relevant accompanying documents) are received and accepted by Insight Investment Funds Management Limited. Insight Investment Funds Management Limited reserves the right not to accept applications.

1. CORPORATE DETAILS

Account designation

Corporate name

Existing account no. (if applicable)

Contact name

Address

Postcode

Telephone number*

Fax number

ALTERNATIVE MAILING ADDRESS

(If reports and notices should be sent to an address other than the one above please complete here.)

Postcode

Country

PARTNER/TRUSTEE DETAILS

Investments cannot be registered in the name of any partnership or trust, but must be registered in the names of the partners or Trustees, e.g. 'The Investor Trust Co Ltd, as Trustees for the ABC trust'. In the case of an unlimited society or association, investments can be registered in the name of 'The Secretary or Treasurer for the time being'. Please indicate the name of the trust or partnership below:

* For administrative purposes only.

Please answer below Yes or No if any of the following apply to any of the applicants or named individuals:

- I am an employee of a BNY Mellon Entity¹.
- I am an “immediate family member”³ of an employee of a BNY Mellon Entity¹.
- I am a director² of a BNY Mellon Entity¹.

YES NO

¹ “BNY Mellon Entity” means The Bank of New York Mellon Corporation or any of its controlled affiliates

² includes directorships of entities that serve as managing member, general partner or trustee of funds that have a BNY Mellon connection

³ “immediate family members” include an employee’s spouse, domestic partner and unemancipated children (including stepchildren, foster children, sons-in-law or daughters-in-law), whether or not they live in the same household as the employee. In addition, “immediate family members” also include the following relatives who are living within the same household as the employee: children (including stepchildren, foster children, sons-in-law and daughters-in-law), grandchildren, parents (including step-parents, mothers-in-law and fathers-in-law), grandparents, and siblings (including brothers-in-law, sisters-in-law and stepbrothers and stepsisters). Employees should also be aware that other holdings over which they have indirect ownership or control will generally be attributed to them.

2. INVESTMENT DETAILS

Please indicate in the table(s) below your choice of fund(s) in which you would like to invest.

Please refer to the Prospectus for information on sub-fund names, minimum investment amounts, share classes and the availability of income and accumulation shares.

Sub-fund name	Lump sum £	Share class	Share type Income/Accum
	£		
	£		
	£		
	£		
	£		
	£		

3. PAYMENT INSTRUCTIONS

I) Source of funds

Please note that Insight Investment's Compliance Officer reserves the right to request additional information.

Please insert source of funds i.e. internal funds

II) Bank-to-bank transfer

We have arranged a bank-to-bank transfer.

£

on (value day/date)

from

Bank account name

Name of Bank

Bank details

Address

Postcode

Country

Account number

Bank

To: Insight Bank Account

Account number

Sort code

Account name

All payments due to you will be paid into the account of the registered holder as specified above unless you expressly request otherwise in writing at least 10 business days in advance of any proposed redemption.

4. COVERALL RENUNCIATION

We hereby authorise Insight Investment Funds Management Limited to accept all instructions given by us, or on our behalf, from time to time by fax, EMX or by telephone for the redemption of shares that are registered in the above name under any account designation whatsoever in any sub-fund of Insight Investment Discretionary Funds ICVC. The instruction shall contain such details as Insight Investment Funds Management Limited may require and shall be given by such designated individuals as we shall notify to Insight Investment Funds Management Limited in writing from time to time.

We further authorise Insight Investment Funds Management Limited to remit the proceeds of any such redemption in accordance with the following instructions:

By electronic funds transfer to:

Bank name:

Branch name:

Sort code:

Account name:

Account number:

It is our intention that this document take effect as an instrument of transfer to Insight Investment Funds Management Limited of any shares that are so redeemed. Accordingly, in consideration of such payment, we hereby renounce title to any shares that are so redeemed and in respect of which the payment is duly made and instruct Insight Investment Funds Management Limited to transfer those shares out of our name to itself as authorised corporate director of the fund(s) concerned.

In consideration of acceptance of our instructions by the methods described above, we undertake that we will not seek to claim against Insight Investment Funds Management Limited for any costs, losses or expenses that we may incur as a result of Insight Investment Funds Management Limited acting in good faith in accordance with this coverall renunciation pursuant to any incorrect or fraudulent instructions to redeem shares, given or purporting to be given by us. In addition, we will indemnify Insight Investment Funds Management Limited against all costs, losses, claims and expenses that arise from Insight Investment Funds Management Limited accepting in good faith any incorrect or fraudulent instructions made or purporting to be made or given by us, or made or purporting to be made or given under this coverall renunciation.

5. AEOI SELF-CERTIFICATION

UK law, in accordance with international agreements (including the OECD Common Reporting Standard, the US-UK intergovernmental agreement to implement the US legislation known as FATCA and agreements between the UK and its Crown Dependencies and Overseas Territories) requires us to collect data about each investor's tax residency and tax classification for the purpose of the Automatic Exchange of Information (AEOI) for international tax compliance.

All terms identified in *italics* are as defined under the OECD Standard for Automatic Exchange of Financial Account Information commonly known as the Common Reporting Standard.

It is the responsibility of the applicant to determine whether they are tax resident in any particular country.

If any of the information below changes in the future, please ensure that we are advised of these changes promptly.

If you are applying on behalf of a UK Registered Pension Fund please ask for the alternative form for Pension Funds.

For further information please see www.oecd.org/tax/automatic-exchange/

Entity Self-Certification for Automatic Exchange of Information (AEOI)

Note: If you are acting as a nominee, agent or intermediary on behalf of another person or *entity* and you are a Financial Institution for AEOI purposes, this self-certification should be completed in the name of the Financial Institution. If you are acting as a nominee, agent or intermediary but are NOT a Financial Institution for CRS purposes, you should complete this self-certification in the name of the beneficial owner on whose behalf you act.

Classification of *Entity* for AEOI purposes

(This section does not apply to individual applicants)

A *Financial Institution*

If you are a *Financial Institution*, please tick one of the below categories and provide your FATCA Global Intermediary Identification Number (*GIIN*)

- (i) *Financial Institution* (other than ii below)
- (ii) An *Investment Entity* located in a *Non-Participating Jurisdiction* and managed by another *Financial Institution* (if this box is ticked, please indicate the name of any *Controlling Person(s)* of the *Entity* and complete a separate Individual Self-Certification form for each of your *Controlling Persons**)

B *Non-Financial Entity*

If you are a *Non-Financial Entity* for AEOI purposes, please tick one of the below categories:

- (i) *Active Non-Financial Entity* – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- (ii) *Active Non-Financial Entity* – a Government Entity or Central Bank
- (iii) *Active Non-Financial Entity* – an International Organisation
- (iv) *Active Non-Financial Entity* – other than (i)-(iii) (for example a start-up NFE or a non-profit NFE)
- (v) *Passive Non-Financial Entity* (if this box is ticked, please complete a separate Individual Self-Certification Form for each of your *Controlling Person(s)**)

Declaration of Tax Residency

Please indicate your country of tax residence. You may be tax-resident in more than one country. (In particular individual US citizens or green card holders should note that they are automatically tax-resident in the US).

Please detail all countries of tax residence and associated tax identification numbers (*TINs*). NOTE: Provision of a *TIN* is required unless you are tax resident in a jurisdiction that does not issue a *TIN*. For the UK the *TIN* is your unique tax reference (UTR) issued by HM Revenue & Customs or (alternatively for an individual) your National Insurance number.

If an *Entity* is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

If a *TIN* is not available please provide the appropriate reason A, B or C as appropriate:

Reason A – The country where the Account Holder is liable to pay tax does not issue *TINs* to its residents.

Reason B – The Account Holder is otherwise unable to obtain a *TIN* or equivalent number. Please explain why the Account Holder is unable to obtain a *TIN* in the box on the next page if you have selected this reason.

Reason C – No *TIN* is required. Note: only select this reason if the authorities of the country of tax residence entered below do not require the *TIN* to be disclosed.

Country of Tax-Residency	TIN (Tax-ID number)	Reason (A, B or C) if no TIN

If no *TIN* is available (reason B) please explain why (for example if your *entity* is tax-transparent and is not tax-resident and the country of effective management does not issue *TINs* to entities that are not tax-resident).

* If Box A(ii) or Box B(v) has been ticked above please list below the names of the *controlling persons* for your organisation (there will always be at least one). Please attach self-certification forms for each. If there are more than four please give details on a separate sheet.

- 1.
- 2.
- 3.
- 4.

Separate sheet(s) with further details of residency or *controlling persons* attached: Yes / No

6. INVESTMENT CONSULTANT AUTHORISATION

We hereby appoint the following investment consultant:

Contact name

- We authorise you to give our investment consultant information relating to our account
- We authorise you to accept any instruction to switch between funds issued by our investment consultant. This authority does not extend to redemptions or switching outside the aforementioned funds. We hereby acknowledge that the Manager is not liable for acting on any instructions from or purporting to come from our investment consultant.

Full name of regulated investment consultant

Name

7. MONEY LAUNDERING REGULATIONS

Under current UK money laundering regulations, we are required to verify the identity of our customers. Without this verification we will be unable to accept any additional payments, or pay the proceeds of any redemptions. In order to meet these requirements, we may need to obtain independent documentary evidence confirming corporate identity and permanent residential address. This will involve an electronic search of information, including access to databases and other credit data, through an independent agency. If we cannot confirm your name and address by using this agency, we may contact you to ask you to supply certain documents to verify your name and address.

By signing this form you consent to Insight Investment Funds Management Limited and Insight Investment Management (Global) Limited undertaking verification checks of your identity. You acknowledge that this will involve an electronic search of information, including access to databases and other credit data, through an independent agency.

8. FEES

The details of fees for all sub-funds are set out in the Prospectus for the OEIC.

9. DECLARATION AND SIGNATURES

Complete as applicable.

For your own benefit and protection you should read the prospectus and/or simplified prospectus carefully before signing this form. If you do not understand any point, please ask for further information.

We:

- (a) declare that this form has been completed to the best of our knowledge and belief.
- (b) declare that the investments are not being acquired directly or indirectly in violation of any applicable law.
- (c) acknowledge that Insight Investment reserves the right to reject an application in whole or in part in which event the application monies, or any balance thereof, will be returned at our own risk.
- (d) acknowledge that Insight Investment reserves the right to cancel any transaction and/or redeem sufficient investments to meet any costs incurred as a result of our failure to settle in full this or any transaction on the due settlement date.
- (e) agree to notify Insight Investment in writing immediately if any details in this application form cease to be correct in any respect.
- (f) understand that telephone calls may be recorded.
- (g) hereby represent and declare that we: (i) are not a U.S. Person (which shall have the meaning ascribed to it in Regulation S promulgated under the United States Securities Act of 1933, as amended from time to time), (ii) have not been solicited to purchase and have not and will not acquire shares while present in the United States, (iii) are not applying as a nominee of a U.S. Person and are not acting on behalf of nor do we intend to transfer any shares to a U.S. Person(s), (iv) will not transfer any shares or any interest therein to a U.S. Person and will not transfer any shares within the United States; and (v) will promptly notify Insight Investment Funds Management Limited if we should at any time become a U.S. Person.
- (h) acknowledge that Key Investor Information Documents ("KIIDs") can be obtained from the Insight Investment website www.insightinvestment.com and consent to being provided with the KIIDs in this form via the website. We acknowledge and confirm that we have received read and understood the relevant KIIDs prior to submitting each application form to subscribe for shares and will provide confirmation of this.

- (i) hereby agree to indemnify and hold harmless the OEIC, together with the ACD, Depositary, Administrator, Investment Adviser, the other Shareholders (each as defined in the Prospectus of the OEIC) and the distributor of the OEIC (in each case from time to time) and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from (i) any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by us to Insight Investment Funds Management Limited or (ii) our holdings of shares in a Sub-Fund which brings the OEIC (or any Sub-Fund thereof) into conflict with any requirement of any local regulatory authority or the OEIC (or any Sub-Fund thereof) incurring any liability to taxation or breaching any law or regulation of any local regulatory or taxation authority. The ACD, the Depositary, the Administrator, the distributor and the Investment Adviser will not be responsible or liable for the authenticity of instructions received from me/us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed to be genuine.
- (j) We are aware that the OEIC will comply with UK legislation to implement Automatic Exchange of Information (AEOI regulations) for international tax compliance purposes including any future amendments or additions to that legislation. We are also aware that, in accordance with this legislation, information supplied in this application, or to update it, together with information on the Shareholder's account(s) may be given to HM Revenue and Customs (HMRC) and that HMRC may, in turn, pass such information to relevant foreign tax authorities, in accordance with AEOI agreements to which the United Kingdom is a party (including the UK-US agreement to implement the US legislation commonly known as 'FATCA').

We understand that if we fail to provide all of information to determine our tax status required then our information may be passed to HMRC and they may in turn pass it to foreign tax authorities including those of the United States and Crown Dependencies

We agree to provide the OEIC or any person acting on its behalf with all the information required by it for the purposes of fulfilling its obligations under AEOI regulations. If relevant, we certify that our controlling persons have also agreed to provide the required personal information.

We further agree to inform the OEIC or person acting on its behalf as soon as reasonably practical if any of the information that we have supplied becomes incorrect or incomplete and to supply replacement or additional information, certificates or documents as soon as reasonably possible.

We hereby also agree to indemnify and keep indemnified the OEIC, the ACD, the Investment Adviser, the Administrator and/or the distributor against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the OEIC, the ACD, the Investment adviser, the Administrator and/or the distributor and has not been provided by us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by us to the OEIC, the ACD, the Adviser, the Administrator and/or the distributor.

We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the OEIC, and that the OEIC is authorised to hold back from any redemption proceeds or other distributions to us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and we shall indemnify and keep indemnified the OEIC and the agents listed above against any loss suffered by them or other Shareholders in the OEIC in connection with any obligation or liability to deduct, withhold or account for any amount.

- (k) By signing this Application Form, we confirm that:
- We have read and understood (i) the Privacy Notice in the Appendix and (ii) declaration (j) in this section 9 of this Application Form;
 - We expressly consent to my/our tax residence status and all other relevant personal information being used, disclosed and transferred outside the EEA, as described in the Privacy Notice in the Appendix and the declaration (j); and
 - I/We agree that the ACD collects, stores and uses the data I/we provide in its interactions with me/us. I/We have been advised to read in detail the Privacy Notice in the Appendix. This document provides an outline of my/our data protection rights and my/our data protection obligations as they relate to my/our investment in the OEIC.

Corporate signature

Director

Signature

Director/Secretary

Date

As Corporate Trustee for

10. NOTES

In order for a corporation to invest, we require the following:

- A fully completed application form.
- All money to be invested must be from the company's own bank account by bank-to-bank transfer. We require the full name, address and account number of this account.
- Authorised Signatory List.

Unless the company is regulated by, or quoted on, a MiFiD Regulated Market or FCA Designated Investment Exchange, the following must also be provided:

- The original, or a certified copy of the company's certificate of incorporation.
- Verification of the names and addresses of the Directors e.g. a copy of their passport(s), independently certified by a member of a professional body, e.g. a notary, lawyer or accountant, or by a financial adviser. The latter will have completed our Terms of Business (or the Terms of Business of any of our associated companies) and will be regulated by an approved jurisdiction. In addition, an original confirmation from a bank or credit card company, for example a bank or credit card statement to verify addresses (this will be returned).
- Verification of the names and addresses of the principal beneficiaries or controllers (as above for Directors).

For individual trustees, we require:

- A fully completed application form.
- All money to be invested must be from the investor's own bank account by bank-to-bank transfer. We require the full name, address and account number of this account. Redemption proceeds can be sent to you by cheque or bank-to-bank transfer to your bank.
- A copy of the passport or national identity card of each registered holder independently certified by a member of a professional body, e.g. a notary, lawyer, accountant, police officer, embassy, governmental ministry, or by a financial adviser.
- A telephone number for each registered holder. There are circumstances when we may need to contact you to confirm instructions and, if we are unable to do so, this may result in a delay in processing your instructions.

Individual self-certification forms for controlling persons

- If required an internationally agreed template form for self-certification by controlling persons can be found on the OECD website at https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/CRS_CONTROLLING_PERSONS_Self-Cert_form.pdf. This form can be adapted to your house style and we will be happy to check that the adapted form is acceptable for AEOI purposes if you wish. (The Tax Identification Number (TIN) in the UK for an individual is either their Unique Tax reference (or (if they do not have one) their National Insurance Number).

APPENDIX

PRIVACY NOTICE

INSIGHT INVESTMENT FUNDS MANAGEMENT LIMITED (THE “ACD”)

The purpose of this document is to provide you with information on our use, as ACD of the Insight Investment Discretionary Funds ICVC (the “Fund”), of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the “Data Protection Legislation”).

In this document, “we”, “us” and “our” refer to the ACD. From time to time the ACD may delegate certain functions to affiliates and other third parties.

Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

Your personal data

By virtue of making an investment in the Fund and your associated interactions with us (including the initial application and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes, but is not restricted to, the following information relating to you and/or any individuals connected with you as an investor (for example, directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents): name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

In our use of this personal data, the ACD will be characterised as a “data controller” under the Data Protection Legislation and be responsible for ensuring that your personal data is treated in accordance with Data Protection Legislation. In the event that the ACD delegates certain functions to affiliates and/or other third parties such entities will be considered data processors and their use of your personal data will be governed by a written agreement.

When processing your personal data, there may also be times where other service providers to the ACD (including the Administrator and/or Depositary) will be required to use your personal data for purposes they have determined to be lawful and necessary (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction), in which case they will be characterised as “data controllers”.

How we may use your personal data

We may collect, store and use your personal data for lawful purposes disclosed below:

- (i) to reflect your ownership of shares in the Fund (i.e. where this is necessary for the performance of the contract to purchase shares in the Fund including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions);
- (ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or
- (iii) for direct marketing purposes (that is, us or our affiliates or delegates providing you with information on products and services) or for quality control, business, risk and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

Why we may transfer your personal data to third parties

We may share your personal data with our affiliates and delegates.

In certain circumstances, we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the Fund with the HMRC and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

We anticipate that your personal data may to varying extents be disclosed to, and processed by, (i) the Administrator, (ii) the Registrar, (iii) the Investment Adviser, (iv) the Auditor, (v) the Depositary, and (vi) legal advisers to the Fund and/or ACD, and each of their respective affiliates and this may include certain entities located outside the EEA.

Your personal data may also be disclosed to such other third party service providers as are engaged by us from time to time in order to process the data for the purposes set out above, including credit agencies, document production and printing companies, and their respective affiliates (including certain entities located outside the EEA) and as required by any court of competent jurisdiction or any competent judicial, governmental or regulatory body.

The data protection measures we take

Any transfer of personal data by us or any of our duly authorised delegates outside the EEA shall be in accordance with the conditions in the Data Protection Legislation.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

Your data protection rights

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to; and
- the right to lodge a complaint with the Information Commissioner's Office (our lead supervisory authority) or a supervisory authority in the EU member state of your usual residence.

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

Our retention of your personal data

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the Fund or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

Changes to this Privacy Notice

We may need to make changes to this Privacy Notice from time to time and shall do so by amending the version of this Privacy Notice published on our website www.insightinvestment.com (the Privacy Notice can be found in the relevant literature library on the website) and we would therefore invite you to review this regularly so you are informed of the latest position as it affects you.

Getting in touch

The ACD has not appointed a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact privacy@insightinvestment.com