# SUPPLEMENTARY INFORMATION DOCUMENT

Equity Trustees

January 2021

This Supplementary Information Document was prepared in January 2021. Please ensure this document is read in conjunction with the relevant Fund specific Key Investor Information Documents and Fund Prospectus.

## WHAT ARE KEY INVESTOR INFORMATION DOCUMENTS ("KIIDS") AND SUPPLEMENTARY INFORMATION DOCUMENT (SID)?

The KIID(s) and SID are essential documents available to all investors. The KIID(s) contain details of the investment objectives, charges and risks of our funds. The KIID(s) is aimed at helping you assess whether a particular fund meets your needs. The KIID must be provided to investors prior to making any investment decisions and advice should be sought if you are unclear of any of the contents. The SID comes in a standardised format and provides useful information you should be aware of before investing with us.

When considering an investment in any of our Funds, you should read the KIID(s), SID and the relevant Fund Prospectus carefully so that you understand what you are buying, and then keep them safe for future reference. To make sure you have the most up-to-date version of the relevant KIID(s) and SID, visit our website at: www.equitytrustees.com.The above Information is also available free of charge from:

Equity Trustees Fund Services
C/O FNZ TA Services Ltd
PO BOX 12892
Dunmow
CM6 9DL
E-mail: investorqueries@fnztaservices.com
Telephone: 0330 0240 785

Or in respect of the ES River and Mercantile Funds ICVC:

ES River and Mercantile Funds ICVC
C/O Bank of New York (International) Limited
PO Box 372
Darlington
DL1 9RP
Telephone: 0345 603 3618

Or in respect of ES Investec Wealth & Investment OEIC

ES Investec Wealth & Investment OEIC
Equity Trustees Fund Services Ltd
Investec Wealth & Investments Limited
PO Box 12898, Chelmsford
CM99 2FP
Telephone: 0370 7070073

For further details, or to receive a copy of the relevant Fund Prospectus and the latest annual or semi-annual financial statements and interim reports for any of our Funds, please contact us at the details above. If any of the information relating to the Funds are unclear, or you are not sure if an investment is suitable for your needs please contact an authorised financial adviser before investing.

## THE FUNDS RANGE

This document provides supplementary information about your investment in one or more of the following UK UCITS retail Open Ended Investment Companies (each a “**Fund**”, together, the “**Funds**”):

- ES Share Centre Multi Manager Income Fund
- ES Share Centre Multi Manager Growth & Income Fund
- ES Share Centre Multi Manager Growth Fund
- ES Baker Steel Gold & Precious Metals Fund
- ES Ardevora UK Income Fund
- ES AllianceBernstein Europe (Ex UK) Equity Fund
- ES AllianceBernstein Concentrated Global Equity Fund
- ES AllianceBernstein Concentrated US Equity Fund
- ES AllianceBernstein Low Volatility Global Equity Fund
- ES AllianceBernstein Sustainable US Equity Fund
- ES River and Mercantile Dynamic Asset Allocation Fund
- ES River and Mercantile European Fund
- ES River and Mercantile Global High Alpha Fund
- ES River and Mercantile Global Recovery Fund
- ES River and Mercantile UK Dynamic Equity Fund
- ES River and Mercantile UK Equity High Alpha Fund
- ES River and Mercantile UK Equity Income Fund
- ES River and Mercantile UK Equity Smaller Companies Fund
- ES River and Mercantile UK Recovery Fund
- ES Investec Wealth & Investment Balanced Fund
- ES Investec Wealth & Investment Cautious Fund
- ES Investec Wealth & Investment Growth Fund
- ES Investec Wealth & Investment Income Fund

Our Funds are authorised by the UK by the Financial Conduct Authority. Equity Trustees Fund Services Limited (“**ETFS**”) is the Authorised Corporate Director (“**ACD**”) of the Fund(s) and is responsible for managing the Fund(s) affairs in accordance with the FCA rules. ETFS is authorised and regulated by the Financial Conduct Authority of 12 Endeavour Square, London, E20 IJN.

## WHAT ABOUT TAX?

Set out in the relevant Fund Prospectus is a summary of the main tax issues relating to the tax position of investors in the Fund(s). You are advised to read the tax section in the Prospectus carefully before investing. It is a general summary of the current UK tax law and HM Revenue & Customs practice and does not constitute tax or legal advice. Tax laws and policy may be subject to change: future rates and bases of tax may vary and current exemptions could be withdrawn. How an investment in the Fund(s) are taxed for any given investor will depend on the applicable tax laws based on that investor’s personal situation and/or the place where the capital is invested. Investors with a connection to jurisdictions other than the United Kingdom may be subject to more than one tax regime. You are advised to consult your professional advisers about your own specific tax position, particularly if you are resident in a jurisdiction other than the United Kingdom.

## WHAT HAPPENS IF I CHANGE MY MIND?

If you have purchased shares in the Fund(s) as the result of a recommendation from an authorised financial adviser, you may have a legal right to cancel your agreement during a 14-day period after making the investment. If you have such a right and wish to cancel, you should sign and return a cancellation form (which will be sent to you along with your contract note confirming your investment in the Fund(s)) to us at Equity Trustees Fund Services, C/O FNZ TA Services Ltd, Level 5, 67 Lombard Street, London, EC3V 9LJ; or in respect of the ES River and Mercantile Funds ICVC at:

ES River and Mercantile Funds, ICVC C/O Bank of New York (International) Limited, PO Box 372, Darlington, DL1 9RP, within 14 days from the day on which you receive the cancellation form. Or in respect of the ES Investec & wealth OEIC at: Equity Trustees Fund Services Ltd, Investec Wealth & Investments Limited, PO Box 12898, Chelmsford, CM99 2FP.

If you decide to cancel, we will reimburse you any amount we have received but, where you have made a lump sum investment, we will deduct any amount by which the value of that investment has fallen, calculated at the next valuation point after we receive your cancellation instructions. If you do not exercise your right to cancel, we will proceed with your investment. Please note, if you do not invest via an authorised financial adviser, these cancellation rights will not apply.

## WHAT SHOULD I DO IF I HAVE A COMPLAINT?

if you wish to make a complaint about any aspect of the service you have received from us, or to request a copy of our complaints handling procedures, please contact us in writing to the Compliant department at the address above. A summary of our complaints handling procedure is available from our website at www.equitytrustees.com.

If your complaint is not resolved by us to your satisfaction, you can refer it to the Financial Ombudsman Service, Exchange Tower, London E14 9SR. Website: www.financial-ombudsman.org.uk.We will inform you of your rights when answering your complaint.

## WHAT IF SOMETHING GOES WRONG – WILL I BE ENTITLED TO COMPENSATION?

The Financial Services Compensation Scheme offers compensation when an authorised firm is unable to pay claims against it, usually because the firm has gone out of business. ETFS is covered by the Financial Services Compensation Scheme ("**FSCS**"). You may be entitled to compensation from the scheme if we cannot meet our obligations. Most types of investment business are covered for 100% of the first £85,000 only. These levels of compensation are set by the government and can change from time to time.

Further information is available from the FSCS by contacting the FSCS at: 10th Floor, Beaufort House, 15 St Botolph Street, London EC3A 7QU. Telephone: Freephone 0800 678 1100 or 020 7741 4100. Website: www.fscs.org.uk.

## DATA PROTECTION

By applying to invest in any of the Fund(s) and/or otherwise engaging with ETFS, you acknowledge that we may collect, process and transfer your personal information. We will only use your personal information to the extent that it is provided to us, or otherwise obtained by us. We endeavour to ensure that your personal information is handled in accordance with: (i) the UK Data Protection Act 2018; (ii) the UK General Data Protection Regulation 2016/679 ("**GDPR**"); (iii) any applicable legislation supplementing and / or implementing the GDPR in the United Kingdom; (iv) any legislation that, in respect of the United Kingdom, replaces GDPR as a consequence of the United Kingdom leaving the European Union; and (v) all similar or related legislation relating to the processing of personal information and/or privacy applicable to us. Such information shall be processed by us as data controller for the purposes of: (i) account administration; (ii) anti-money laundering and counter-terrorist financing identification; (iii) tax identification; and (iv) compliance with regulatory obligations.

Further details on your data protection rights and our privacy notice can be found on our website at: www.equitytrustees.com.