
ES RIVER AND MERCANTILE FUNDS ICVC

APPLICATION FORM FOR RETAIL INVESTORS



IMPORTANT INFORMATION

This form is for private individual investors who wish to invest into a sub-fund of the ES River and Mercantile Funds ICVC. Do not use this form if you are investing on behalf of a corporate entity. Forms for corporate entities are available at www.equitytrustees.com.

BEFORE YOU INVEST

- If you are a resident, national or citizen of the United States, we are unable to accept your application form. If you submit an application to us it will be rejected and returned to you.
- As a business we want to provide all our clients with the best service possible. If you have any specific requirements (such as visual impairments, hard of hearing etc) that we should consider when servicing your accounts, please let us know.
- If you are unsure whether this investment is suitable for your needs, please consult your financial adviser.
- You should read the latest Prospectus and Key Investor Information Document(s) 'KIID". These documents, along with the list of available sub-funds, can be found at www.equitytrustees.com or via your financial adviser.

FILLING IN THIS FORM

Terms used in this application form have the same meaning given to them in the Prospectus. Please ensure all applicable sections of this form are completed as missing information will prevent us being able to accept your application. Please use BLOCK CAPITALS to fill in this form.

In Part A, you must tell us about all countries in which you are resident for tax purposes. If you have any questions about your tax residency, please contact your tax adviser. Should any information you provide change in the future, please ensure that you advise us of the changes promptly.

Tax regulations require Equity Trustees Fund Services to collect information about an investor's tax residency and status. If your tax residence is outside the UK, we may be legally obliged to pass certain information collected from you to HM Revenue & Customs who may pass that information on to the tax authorities of other jurisdictions with which the UK Government has entered into agreements for the exchange of information. We may also be required to share information about your account with those overseas tax authorities if we do not receive a valid self-certification form from you. If any of the information you provide on this form changes, please let us know as soon as possible.

We cannot advise you on the information requested for this form, therefore if you have any questions about completing this form using such information, please contact your tax adviser.

HOW TO CONTACT US

Call our direct line:

+44 (0)345 603 3618*

*Calls may be monitored and/or recorded to protect both you and us and help with our training. Whilst we are happy to answer your questions about the information we require, we are unable to give you advice about your choice of fund.

Visit our website:

www.equitytrustees.com

Email us:

ediservicedelivery@bnymellon.com

Write to Us:

**ES River and Mercantile Funds
ICVC
C/O Bank of New York
(International) Limited
PO BOX 372
Darlington
DL1 9RP**



PART A: INVESTOR DETAILS

PLEASE COMPLETE THE FORM IN BLOCK CAPITALS

You can apply for up to four individuals to be joint investors.

Please provide all details requested and ensure that you have completed all sections that apply to you and the choices are clear and legible. This will help us to process your application, and ensure your investment is not delayed. Some information is required so that we can comply with UK regulations on the exchange of information with overseas tax authorities. This is explained further in Part D of this Form.

APPLICANT 1

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s)	<input type="text"/>		
Permanent Residential Address (including postcode)	<input type="text"/>		
Account Number (existing investors only)	<input type="text"/>		
Daytime Telephone Number (including country code)	<input type="text"/>		
Email ¹	<input type="text"/>		
Date of Birth	<input type="text"/>		
Nationality/Citizenship	<input type="text"/>		
If multiple nationalities or citizenships are held please provide details	<input type="text"/>		
Tax / National Insurance Number	<input type="text"/>		
Country of Tax Residency	<input type="text"/>		
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Other, please specify here: <input type="text"/>

¹ You must give your email address if you would like to receive notices or documents about your investment via email.



Designation¹

If you have any specific requirements (such as visual impairments, hard of hearing etc) that we should consider when servicing your accounts, please let us know.

APPLICANT 2

Title

Surname

Forename(s)

Permanent Residential Address (including postcode)

Account Number (existing investors only)

Daytime Telephone Number (including country code)

Email²

Date of Birth

Nationality/Citizenship

If multiple nationalities or citizenships are held please provide details

Tax / National Insurance Number

Country of Tax Residency

¹ Accounts for minors (under 18 years of age) must be registered in the name of an adult(s) and designated in favour of the minor using their initials. Other accounts (e.g. joint accounts) may also be given a designation. Each account may have only one designation. If you would like to allocate a designation, please include that in here.

² You must give your email address if you would like to receive notices or documents about your investment via email.



Gender Male Female Other, please specify here:

Designation¹

If you have any specific requirements (such as visual impairments, hard of hearing etc) that we should consider when servicing your accounts, please let us know.

APPLICANT 3

Title Surname

Forename(s)

Permanent Residential Address (including postcode)

Account Number (existing investors only)

Daytime Telephone Number (including country code)

Email²

Date of Birth

Nationality/Citizenship

If multiple nationalities or citizenships are held please provide details

¹ Accounts for minors (under 18 years of age) must be registered in the name of an adult(s) and designated in favour of the minor using their initials. Other accounts (e.g. joint accounts) may also be given a designation. Each account may have only one designation. If you would like to allocate a designation, please include that in here.

² You must give your email address if you would like to receive notices or documents about your investment via email.



Tax / National Insurance Number

Country of Tax Residency

Gender Male Female Other, please specify here:

Designation¹

If you have any specific requirements (such as visual impairments, hard of hearing etc) that we should consider when servicing your accounts, please let us know.

APPLICANT 4

Title

Surname

Forename(s)

Permanent Residential Address (including postcode)

Account Number (existing investors only)

Daytime Telephone Number (including country code)

Email²

Date of Birth

Nationality/Citizenship

¹ Accounts for minors (under 18 years of age) must be registered in the name of an adult(s) and designated in favour of the minor using their initials. Other accounts (e.g. joint accounts) may also be given a designation. Each account may have only one designation. If you would like to allocate a designation, please include that in here.

² You must give your email address if you would like to receive notices or documents about your investment via email.



If multiple nationalities or citizenships are held please provide details

Tax / National Insurance Number

Country of Tax Residency

Gender Male Female Other, please specify here:

Designation¹

If you have any specific requirements (such as visual impairments, hard of hearing etc) that we should consider when servicing your accounts, please let us know.

¹ Accounts for minors (under 18 years of age) must be registered in the name of an adult(s) and designated in favour of the minor using their initials. Other accounts (e.g. joint accounts) may also be given a designation. Each account may have only one designation. If you would like to allocate a designation, please include that in here.



PART B: ADVISER DETAILS

ADVISER DETAILS (TO BE COMPLETED BY FINANCIAL ADVISERS ONLY)

Adviser Name

Adviser's Firm

Address (including postcode)

Agent Code

Firm's FCA Reference Number

VAT Registration Number

This is an advised sale

This is a non-advised sale

If you have not provided advice about this application please tick the appropriate box

% Discount % Commission

Would you like us to provide product disclosure? Yes No

Would you like us to send a hard copy of the contract note? Yes No

Adviser Signature

Date

CLIENT IDENTIFICATION AND ACCOUNT VERIFICATION

Type of Government-issued document
(passport, driver licence)

Reference/Serial number

Issued by

Date of Issue



Have you met the client in person? Yes No

Type of additional verification document
(utility bill, credit card statement, bank
statement)

Reference/Serial number

Issued by

Please tick to confirm that certified proof of the client identity and permanent residential address is enclosed.



PART C: DOCUMENTATION

We will require you to provide us with the documents below and send this with your completed form.

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks. Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us. We require documentation from each of the following sections, one to confirm your name and one to confirm your address. These must be separate documents:

1. ID

- Current signed passport
- Current signed UK photo card driving licence (a counterpart driving licence is NOT an acceptable document for AML purposes)
- Current full UK driving licence (old version)
- State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits (dated within the last 12 months)
- Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year. Not P45 or P60
- Self-employed registration cards for construction industry (CIS3(partner), CIS4(P), CIS4(T), CIS5, CIS6)

2. ADDRESS

- Recent utility bill (not mobile phone bill). Must be dated within the last 3 months
- Local authority tax bill, rent card or tenancy agreement (valid for current year)
- Solicitor / Lawyer letter confirming a house purchase or land registry confirmation
- Bank or credit card statement showing address within 3 months, not printed from the internet
- State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits dated within the last 12 months (where not used as proof of ID)
- Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year (where not used as proof of ID). Not P45 or P60.
- Recent mortgage statement (dated within the last 12 months)

It is strongly recommended that you do not send the original items of valuable personal identity such as passports, driving licences or benefits books to us. Instead, please arrange for copy documents to be certified. All certifications must be clear and visible on the document, and wherever possible, should appear on the front page. Certified documents should clearly bear the words "certified a true copy of the original". The certifier must sign and print their name, including their designation and full address, and preferably their contact number. The certifier must also add the date of their certification. We will accept documents that have not been certified on every page, e.g. legal documents, providing they are clear and complete.

We can accept certification from the following list, where a non-family member:

- Bank or building society official
- Accountant
- Doctor



- Local Government official / councillor
- Dentist – Police officer
- Teacher / lecturer – Solicitor / Barrister – Notary public / Public Officer
- Embassy / Consulate official
- Director of limited company
- Justice of the peace
- MP – General / Colonel
- Post Office Certification Service
- Financial adviser or other agent



PART D: BENEFICIAL OWNERS

Please complete this section with details of any beneficial owners¹.

BENEFICIAL OWNER 1

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s)	<input type="text"/>		
Residential Address (including postcode)	<input type="text"/>		
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Tax / National Insurance Number	<input type="text"/>		
Relationship	<input type="text"/>		
Existing Client Reference	<input type="text"/>		

BENEFICIAL OWNER 2

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s)	<input type="text"/>		
Residential Address (including postcode)	<input type="text"/>		
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Tax / National Insurance Number	<input type="text"/>		
Relationship	<input type="text"/>		
Existing Client Reference	<input type="text"/>		

¹ Beneficial owners mean those who ultimately own or control an asset. We want to know who the beneficial owner(s) of the investments are, as the beneficial owner(s) may be different from the registered owner(s). For example, a registered owner or record holder holds shares directly with the company. A beneficial owner holds shares indirectly, through a bank or broker-dealer.



BENEFICIAL OWNER 3

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s)	<input type="text"/>		
Residential Address (including postcode)	<input type="text"/>		
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Tax / National Insurance Number	<input type="text"/>		
Relationship	<input type="text"/>		
Existing Client Reference	<input type="text"/>		

BENEFICIAL OWNER 4

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s)	<input type="text"/>		
Residential Address (including postcode)	<input type="text"/>		
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Tax / National Insurance Number	<input type="text"/>		
Relationship	<input type="text"/>		
Existing Client Reference	<input type="text"/>		



PART E: FUND SELECTION

Please specify your choice of sub-fund(s) and the amount(s) you wish to invest. Please refer to the Prospectus for the sub-funds you are investing in for details including overall subscription limits and share type availability.

Fund	ES River and Mercantile European Fund B Accumulation (GBP)
ISIN No.	GB00BMX64N98
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile European Fund B Income (GBP)*
ISIN No.	GB00BMX64P13
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile Global Alpha Fund B Accumulation (GBP)
ISIN No.	GB00BZB1R490
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile Global Recovery Fund B Income (GBP)*
ISIN No.	GB00B9428D30
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Alpha Fund B Accumulation (GBP)
ISIN No.	GB00B3D79W34
Investment amount	Lump Sum amount £
Number of Shares	

* If you have selected income shares, please complete 'Part G Income Instructions' to receive the income directly into your bank or building society account.



Fund	ES River and Mercantile UK Alpha Fund A Income (GBP)*
ISIN No.	GB00B1DSZM47
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Dynamic Equity Fund B Accumulation (GBP)
ISIN No.	GB00B7H1R583
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Dynamic Equity Fund A Income (GBP)*
ISIN No.	GB00B1NG8296
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Equity Income Fund B Income (GBP)*
ISIN No.	GB00B3KQG447
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Listed Smaller Companies Fund B Accumulation (GBP)
ISIN No.	GB00B1DSZS09
Investment amount	Lump Sum amount £
Number of Shares	

* If you have selected income shares, please complete 'Part G Income Instructions' to receive the income directly into your bank or building society account.



Fund	ES River and Mercantile UK Listed Smaller Companies Fund B Income (GBP)*
ISIN No.	GB00BC4DSV56
Investment amount	Lump Sum amount £
Number of Shares	

Fund	ES River and Mercantile UK Recovery Fund B Income (GBP)*
ISIN No.	GB00B614J053
Investment amount	Lump Sum amount £
Number of Shares	

* If you have selected income shares, please complete 'Part G Income Instructions' to receive the income directly into your bank or building society account.



PART F: TAX RESIDENCY

Tax residency Tax regulations¹ require us to collect information about each investor’s tax residency². 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 jurisdictions³. 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, please contact your tax adviser.

COUNTRY/COUNTRIES OF TAX RESIDENCY	COUNTRY/COUNTRIES OF TAX RESIDENCY TAX IDENTIFICATION NUMBER ⁴

¹ 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).

² 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.

³ Those countries that have agreed to exchange information under FATCA and the CRS.

⁴ 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 G: INCOME INSTRUCTIONS

If you have selected income shares above, please complete this section to receive the income directly into your bank or building society account. Please note that income shares may not be available for all sub-funds. Please refer to the KIID for details. If your chosen sub-fund does not issue income shares any income earned will be automatically reinvested.

Name of Bank/Building Society

Address
(including postcode)

Account No.

Bank/Building Society Sort Code

Name of Account Holder

Building Society Roll No.

Type of Account



PART H: PRIVACY NOTICE, DECLARATION AND SIGNATURES

DATA PROTECTION AND MONEY LAUNDERING

When we collect information from you, this will include personal information, which is information from which individuals can be identified. We ensure that we safeguard your information and that we will only collect the information that is necessary for us to provide financial services to you.

We will only share Information collected from you as necessary for lawful purposes with:

- third parties acting on our behalf (including our service providers, delegates and other subcontractors, agents and advisers who help us manage your account or the ICVC)
- at the request of government entities or regulatory bodies
- fraud prevention agencies and credit reference agencies
- debt collection agencies

and in any other circumstances as notified to you, or only with your permission and always in compliance with UK and EU data protection laws, including the EU General Data Protection Regulation.

We will ensure any third parties acting on our behalf only use the personal information in line with our instructions and keep the data protected to the standards to which we are subject under data protection legislation.

If your personal information is transferred to countries outside the European Economic Area (EEA) we will ensure safeguards are in place that are equivalent to the ones to which we are subject under the UK and EU data protection laws.

We may disclose personal information provided about you in connection with FATCA (Foreign Account Tax Compliance Act) and CRS (Common Reporting Standard) provisions in Part B of this Form directly to relevant tax authorities, or to HM Revenue & Customs, which may share the information with the other tax authorities.

When you notify us of changes to the information you have provided, we will update our records to ensure they are accurate and dispose of out of date information except where necessary to maintain our services to you. Any personal information you have provided will be protected in accordance with our physical, electronic and managerial data management and retention policies.

Under anti-money laundering legislation, we are required to verify the identities of all named account holders. We are also required to establish the identity of any beneficial owners. We may also need to enquire as to the purpose of the holding. For these purposes, we may need to obtain independent documentary evidence in respect of the account holders and beneficial owner(s) and may undertake electronic searches of the electoral register and of other personal data, which may be held by credit reference agencies and others. We reserve the right to request further information and documents from you following receipt of your forms and initial documents.

We may search and use the records held by domestic and international credit reference and fraud prevention agencies (alongside our own internal records) to:

- verify your identity and prevent fraud or money laundering
- check your credit history
- check details on applications for credit and credit related or other facilities

We may conduct any other searches we consider necessary using information held by credit reference agencies, fraud prevention agencies and other financial institutions. We may also ask you to provide additional documents as necessary to verify the identity of individuals and/or beneficial owners of your



organisation in order to comply with our obligations in connection with anti-money laundering and prevention of financial crime.

We will only keep personal data for as long as is necessary while we are providing services to you and for up to ten years after our relationship with you has ended in order to meet any legal obligations.

Full details of how we may use your information is contained in our Privacy Notice which will form part of our agreement with you once we have accepted your application. In our Privacy Notice we explain how we may process your personal information with your consent and how you may withdraw your consent.

Our Privacy Notice is available on our website at www.equitytrustees.com.

DECLARATION

The following declarations shall be deemed to be restated on each subsequent investment:

I/We wish to invest in the shares as detailed in this Application Form on the basis of the latest relevant Prospectus and relevant fund and share class specific KIID which I/we have been provided with, at the price prevailing at the first valuation following receipt of this order.

I understand that the information supplied by me is covered by the full provisions of the prospectus governing my relationship with Equity Trustees Fund Services Limited setting out how they may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the account holder may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I/We declare that the information given on this completed application form is current, accurate, complete and to the best of my/our knowledge and belief. I/we agree to notify Equity Trustee Fund Service immediately if any of this information changes in the future.

I/We declare that I am/we are 18 years of age or over.

I/We declare, represent and warrant that I/we have the legal capacity and authority to execute this application and to subscribe, redeem, transfer and/or switch shares of the fund(s).

I/We confirm I/we have read and understood your Privacy Notice.

I/We confirm that I/we have read the note on anti-money laundering verification on this form.

I/We confirm that the investment I/we are making using this Application Form belong to me/us and I/we agree to be bound by the terms of this Application Form.

I/We acknowledge and agree that this application is subject to the terms as set out in the latest relevant KIID and the relevant latest Prospectus.

I/We confirm I/we are not a US person and that the interests are not being acquired for the benefit or account of, directly or indirectly, a US Person.

I/We confirm I/we are resident only in the UK for tax purposes. If this is not correct, I have completed part F above.



I/We authorise Equity Trustees Fund Services to undertake any necessary searches of the electoral roll and credit reference agencies.

I/We understand that money laundering regulations may require 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 Equity Trustees Fund Services enquiry.

I/We consent to Equity Trustees Fund Services Ltd providing the KIID via Equity Trustees' website at www.equitytrustees.com. Alternatively, we may request a paper copy of the KIID to Equity Trustees Fund Services Ltd.

I further understand that Equity Trustees Fund Services 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 ES River and Mercantile Funds ICVC 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.

I undertake to advise Equity Trustees Fund Services Limited within 30 days of any change in circumstances which affects the tax residency status of the Account Holder identified in Part A of this self-certification form or if the information provided becomes incorrect or incomplete.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the accounts to which this form relates

- I/We declare that all of the information provided in this application is, to the best of my/our knowledge and belief, correct and complete and agree to inform you in writing immediately of any changes to the information provided in this form.
- I have read and agree to the information within the relevant Key Investor Information Document

TO BE SIGNED BY EACH APPLICANT LISTED IN PART A

APPLICANT 1

Signed	<input type="text"/>
Print name	<input type="text"/>
Address (including postcode)	<input type="text"/>
Date (dd/mm/yyyy)	<input type="text"/>

APPLICANT 2

Signed	<input type="text"/>
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Print name

Address
(including postcode)

Date (dd/mm/yyyy)

APPLICANT 3

Signed

Print name

Address
including postcode

Date (dd/mm/yyyy)

APPLICANT 4

Signed

Print name

Address
including postcode

Date (dd/mm/yyyy)



RETURNING YOUR FORM

Please send your completed application form to below address or email it to ediservicedelivery@bnymellon.com. Electronic payments such as bank transfer are preferred way of payments for your investment; however, if you would like to make your payments by cheque, please send the cheque to below address.

ES River and Mercantile Funds ICVC,
PO Box 372,
Darlington,
DL1 9RP

If you have any questions regarding the completion of this form, please contact your financial adviser or the support line on 0345 603 3618.

If you wish to make payment via bank transfer, please use the details below:

Bank: Barclays Bank International
Account Name: ES RAMAM Dealing Acc
Account Number: 03331024
Sort Code: 20-32-30
SWIFT/BOC: BARCGB22
Reference: River & Mercantile full name and account number (if known)

Please make sure you have read signed and dated the Individual Declaration.