



T. Bailey Funds

Unit Trust Investment — Lump Sum Top Up Form

This application form is for existing investors who already have an account in the T. Bailey Funds. Should you wish to open a new account please use the Unit Trust Investment Form (private investors) or the Corporate Account Opening Form (corporate investors) found on our website at www.tbaileys.co.uk. A new full application form will also be required if you are an existing investor who wishes to open a new account with different registration details to your existing account, or if you wish to set up a new Direct Debit for a regular saver investment.

Before completing this application form, you must read the relevant Key Investor Information Document which contains important information about your investment. You should also read the Supplementary Information Document.

All relevant documentation, including the full prospectus, can be obtained from T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ, at: www.tbaileys.co.uk or by calling the Client Services helpline on 0115 988 8213. (Calls are recorded).

Please complete the application form in blue or black ink and in BLOCK CAPITAL letters. Failure to correctly complete relevant sections of the application form may delay or invalidate your application.

The completed application form should be returned to: Dealing & Administration, T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ.

T. Bailey Fund Services Limited ('TBFS') is authorised and regulated by the Financial Conduct Authority (FCA) and is a HM Revenue & Customs ('HMRC') approved Stocks & Shares ISA Manager.

Section 1: Investor registration details

Please complete the name details for all applicants in full. Note that we can accept applications from up to 4 joint holders for a Unit Trust investment. Client regulatory correspondence is only sent to the first named investor.

TBFS Account number

Full name of primary registered holder

Telephone number

Date of Birth (DD/MM/YYYY) if applicable

Full name of second holder (if applicable)

Full name of third holder (if applicable)

Full name of fourth holder (if applicable)

Account Designation (if applicable)

Section 2: Investment Details

Note to Financial Advisers: 'A' classes listed below do not contain an element of ongoing adviser commission in the annual management charge. If advice has not been given (or has been given to a non-UK client) and the investment is to be made into a commission paying class, please use the blank rows to list the fund and class required or use the adviser only share classes listed below. Please also give clear instructions of any initial/ongoing commission % payable in section 5 and ensure sections 4 & 5 of this application form are fully completed.

Please confirm the fund and class that you wish to invest in by completing the table below.

Lump Sum Investment *

Specify the cash value in this column

T. Bailey Growth Fund (A Accumulation)

£

T. Bailey Dynamic Fund (A Accumulation)

£

T. Bailey Dynamic Fund (A Income)

£

£

Adviser Charging Share Classes

T. Bailey Growth Fund (X Accumulation)

£

T. Bailey Dynamic Fund (X Accumulation)

£

T. Bailey Dynamic Fund (X Income)

£

*Minimum initial lump sum investment £1,000. Minimum subsequent investment (e.g. top up) £500.

If you would like to invest using the monthly savings facility, please complete the Initial Unit Trust Application Form (for private investors) or the Corporate Account Opening Form (for corporate investors only).

IMPORTANT INVESTOR INFORMATION

Data Protection Policy

To provide our services to you, TBFS is required to collect personal information (i.e. information such as your name, date of birth, address, bank details or other such data which may be used to identify you). When we do so we are subject to data protection laws applicable in the United Kingdom and we are responsible as 'controller' of that personal information for the purposes of those laws.

We take your privacy very seriously and will only share your personal information with trusted third parties that are themselves subject to appropriate measures to protect your personal information. You are encouraged to read carefully our Privacy Policy which contains details and important information on who we are and how and why we collect, store, use and share your personal information. This policy also explains your rights in relation to your Personal Information and how to contact us or supervisory authorities in the event you have a complaint.

Our Privacy Policy can be obtained from www.tbaileyfs.co.uk/privacy-policy or, to request a copy, you can write to us at T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ or call us on the Client Services helpline: 0115 988 8213. (Calls are recorded).

Identification Verification

Applications will be subject to the United Kingdom's verification of identity requirements which are contained in the Money Laundering Regulations (and subsequent revisions), the Serious Organised Crime and Police Act 2005, the Proceeds of Crime Act 2002, the Terrorism Act 2000, the HM Treasury Sanctions Notices and the FCA Handbook. To comply with these regulations, we may need to request additional evidence of identity from you. We may use a credit reference agency who will record that an enquiry has been made. **We reserve the right to refrain from investing your money and to withhold any repayment of capital and / or income until adequate evidence of identity under these regulations has been provided.**

Section 3: Payment method

Please tick to confirm your payment method:

Electronic Payment

Please note that TBFS is unable to make a collection from your account and you must instruct your bank to transfer payment to us.

Please send electronic payments with your name as the payment reference to the following account;

Account Name: T. Bailey Client Money Account Account Number: 61101613 Sort Code: 60-80-09

Cheque Payment

Please include a correctly completed cheque with your application form as failure to do so may delay or invalidate your investment.

Please also note that cheques:

- should be made payable to **T. BAILEY FUND SERVICES LIMITED**
- should either be drawn on a bank account held in the name of the applicant, or from a building society with the applicant's name clearly displayed on the face of the cheque; and,
- should not be post-dated

This section has been left intentionally blank.

Please move to the next page to continue with your application.

FOR OFFICE USE ONLY

Existing Account	<input type="checkbox"/>	DoB	<input type="checkbox"/>	Further Action Required	<input type="checkbox"/>
Full Declaration	<input type="checkbox"/>	ID Verification	<input type="checkbox"/>	Cheq (if applicable)	<input type="checkbox"/>

Section 4: Financial Adviser Details

Where a Financial Adviser was listed on your original Unit Trust application form, this will also be applied to top up investments. **TBFS's default position is that advice has been given in regards to this application unless we are instructed otherwise.**

Tick here if no advice has been given

Please be advised we must be informed at the point of each subsequent investment whether or not advice has been given.

Section 5: Financial Adviser Charges

Note to Financial Advisers

Please see TBFS's Intermediary Terms of Business at www.tbaileyfs.co.uk. Financial Advisers who conduct business with TBFS are deemed to have accepted these terms.

From 31 December 2012, ongoing commission cannot be paid to a UK Financial Adviser from a product where advice has been given to a UK retail client to invest in a product. For deals where advice has been given to UK retail client, investment should therefore be made into classes which do not contain an element of commission built into the annual management charge (AMC). See the Supplementary Information Document for this fund range for a complete class list. Section 4 declares if no advice has been given. This application may be rejected if any sections are incomplete or inconsistent.

Note to Applicant: Please ensure that you have read, understood and signed the declaration below.

Initial Adviser Charges

By completing this section, you are instructing us to pay an amount from your initial investment as outlined in Section 2 to the agent listed on your account as an adviser charge. As a result of this, the net amount invested in your chosen fund will be reduced by the amount of the adviser charge. For example if you have invested £10,000 and you have elected to pay your adviser a 2% adviser charge from your initial investment, we will pay your adviser £200 and £9,800 will be invested into the fund.

Initial adviser charge payable to appointed Financial Adviser: %

Ongoing Adviser Charges - Please only complete this section if ongoing adviser charges are to be taken from the investment.

If this facility is not required, please move directly to section 6.

By completing this section, you are instructing us to pay an amount from your investment to the agent listed in your original application as an ongoing adviser charge. As a result of this, we will process a deal to sell the appropriate number of your shares at the end of each calendar month following your investment to raise an amount to finance the adviser charge.

Please note that facilitation of ongoing adviser charges is based on an investor's holding at the relevant month end and is calculated at class level. If you have a holding in a class at the month end, we will pay an ongoing adviser charge based on the value of your investment in that class on the last business day of the month. This will be facilitated by monthly redemptions of shares, with the proceeds being paid directly to your agent, provided there are sufficient shares in your account at the end of the period to redeem.

For example, if your holding was worth £100,000 at the end of the month and you had opted for facilitation of adviser charges of 0.6% per annum via monthly redemptions we would redeem units to the value of £50.00 in that quarter ($£100,000 \times 0.05\%$).

Ongoing adviser charge % per annum: %

Adviser Charging Declaration:

- I/We* declare that I/we* have agreed with the agent listed in Section 3 that I/we* will pay the agent the initial adviser charge stated in this section and I/we* instruct you to pay such a charge to the agent listed as an initial adviser charge for services provided. I/we* acknowledge that this will reduce the amount of the initial investment.
- I/We* declare that I/we* have agreed with the agent listed in Section 3 that I/we* will pay the agent the ongoing adviser charge as stated in this section and I/we* instruct you to sell the appropriate number of shares from this account at the end of each calendar month in order to pay such ongoing adviser charges. I/we* acknowledge that this will reduce the value of my/our* investment. I/We* confirm that the proceeds of such sales will be paid directly to the agent listed in Section 3.

* delete as applicable	First Applicant Signature	<input checked="" type="checkbox"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Second Applicant Signature (if applicable)	<input checked="" type="checkbox"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Third Applicant Signature (if applicable)	<input checked="" type="checkbox"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Fourth Applicant Signature (if applicable)	<input checked="" type="checkbox"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>

Additional notes to Financial Advisers

Please note TBFS will not pay adviser charges if the declaration above has not been signed by the applicant. TBFS is also unable to pay any adviser charges retrospectively. It is therefore important that the applicant signs the declaration above in order for adviser charges to be paid.

Section 6: Declarations

Please read this section carefully before signing and dating the declaration. This is our standard declaration upon which we intend to rely. For your own benefit and protection you should read these terms along with the relevant Key Investor Information Document and Supplementary Information Document carefully before signing. More detailed information can also be found in the T. Bailey Funds Prospectus. Copies of the relevant documents can be obtained from www.tbaileyfs.co.uk or by contacting TBFS. If you do not understand any point please ask your Financial Adviser or TBFS for further information. Please note that TBFS is not authorised to provide financial advice to private individuals. **Failure to sign will mean your application form cannot be processed.**

I/We* declare that:

- The information contained in this application form, and any additional pages completed by me/us* is correct to the best of my/our* knowledge and belief and I/we* undertake to notify TBFS without delay of any changes to these particulars.
- I/We* confirm that I/we* have read and understood in full the information contained in this application form, the relevant Key Investor Information Document and the Supplementary Information Document (and have kept a copy of these for my/our* records) and that these documents constitute the agreement between me/us* and TBFS.
- I/we* agree to be bound by the terms and conditions contained therein.
- I/We* request TBFS to act in accordance with my/our* instructions. I/We* understand that this application is subject to acceptance by TBFS and that TBFS accepts no responsibility for any loss incurred as a result of any delay in the submission of the application form.
- I/We* agree to indemnify TBFS and its delegates and/or agents including the administrator for any loss arising to TBFS and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction on the happening of a Chargeable Event (as defined in the Prospectus). This indemnity applies notwithstanding anything to the contrary in this application form or the current Prospectus, unless otherwise agreed by TBFS in writing.
- I/We* agree to provide any information as may be requested by TBFS to enable the relevant fund to satisfy any legal, regulatory or tax obligations.

First Applicant Signature

X

Date

/ /

Second Applicant Signature (if applicable)

X

Date

/ /

Third Applicant Signature (if applicable)

X

Date

/ /

Fourth Applicant Signature (if applicable)

X

Date

/ /