

Aviva Investors ISA & Non-ISA Investments



Fund Instruction Form

1. Summary

You can use this form to switch your investment from one fund to another, top up your investment or alter your monthly direct debit instruction.

Please answer all questions in CAPITAL LETTERS and tick boxes where appropriate.

Please note that switching between funds (other than within an ISA) is a disposal for capital gains tax (CGT) purposes and may result in a CGT liability.

Please complete the appropriate section(s) concerning the instructions you wish to make.

If you are topping up your investment, please make your cheque payable to Aviva Investors UK Fund Services Limited.

If you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn. For example, the cheque should be made payable as follows: Aviva Investors UK Fund Services Limited, i.r.o. John Smith (include investor's full name).

Tax regulations require us to collect certain information about each customer's tax status, and in certain circumstances we may be obliged to share this information with HM Revenue & Customs. If you are uncertain of your tax residency please refer to your legal or tax adviser.

Please return completed forms to: Aviva Investors Administration Office, PO Box 10410, Chelmsford, CM99 2AY.

For information about minimum investments please refer to the Supplementary Information Document.

If you require help to complete the form, please speak to your adviser or contact 0800 051 2003. Calls may be recorded for training and monitoring purposes, and to comply with applicable law and regulations. Calls are free from UK landlines and mobiles.

We will purchase Class 1 shares or units, except for the Global Equity Endurance Fund where we will purchase shares in Class 6, unless you indicate otherwise.

Please note: If you are switching your fund holding to an ISA product you are not required to complete Country of Tax Residency and Tax Reference Number fields.

1. Personal Details

You must complete this section.

Title	<input type="text" value="Mr / Mrs / Miss / Ms"/>
Forename(s)	<input type="text"/>
Surname	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
	<input type="text" value="Postcode"/>
Date of birth	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Daytime telephone number	<input type="text"/>
Email address	<input type="text"/>
Country of tax residency	<input type="text"/>
National Insurance number/ Tax reference number	<input type="text"/>

If you are resident for tax purposes in more than one country, please provide details of each such country and your associated Tax Identification Number(s) on a separate page. If you are a US citizen you must also include United States along with your US Tax Identification Number.

Additional investors

You must complete this section if there are joint investors on your account.

Title	<input type="text" value="Mr / Mrs / Miss / Ms"/>
Forename(s)	<input type="text"/>
Surname	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
	<input type="text" value="Postcode"/>
Date of birth	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Country of tax residency	<input type="text"/>
National Insurance number/ Tax reference number	<input type="text"/>

If you are resident for tax purposes in more than one country, please provide details of each such country and your associated Tax Identification Number(s) on a separate page. If you are a US citizen you must also include United States along with your US Tax Identification Number.

1. Personal Details (continued)

Additional investors (continued)

You must complete this section if there are joint investors on your account.

Title	Mr / Mrs / Miss / Ms
Forename(s)	
Surname	
Address	
	Postcode
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Country of tax residency	
National Insurance number/ Tax reference number	
If you are resident for tax purposes in more than one country, please provide details of each such country and your associated Tax Identification Number(s) on a separate page. If you are a US citizen you must also include United States along with your US Tax Identification Number.	
Title	Mr / Mrs / Miss / Ms
Forename(s)	
Surname	
Address	
	Postcode
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Country of tax residency	
National Insurance number/ Tax reference number	
If you are resident for tax purposes in more than one country, please provide details of each such country and your associated Tax Identification Number(s) on a separate page. If you are a US citizen you must also include United States along with your US Tax Identification Number.	

2. Existing account details

You must complete this section.

Client reference
number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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3. Details of funds to be switched

Only complete this section if you wish to switch from one fund to another.

In the boxes below please list the funds you would like to switch from/to, the amount you would like to switch and whether you would like income to be paid to you or not (income cannot be paid out if the regular investment option is selected). If you are switching a fund in both an ISA and a non ISA investment you need to enter it twice.

Fund to be switched		Income required ¹	Held within an ISA?
Fund name			
From	<input type="text"/>		
To	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Amount (£/%)	<input type="text"/>		
Fund name			
From	<input type="text"/>		
To	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Amount (£/%)	<input type="text"/>		
Fund name			
From	<input type="text"/>		
To	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Amount (£/%)	<input type="text"/>		

1. Only applicable to funds paying income.

4. Topping up your investment

Only complete this section if you wish to switch from one fund to another.

If you are topping up a fund in both a ISA* and a non-ISA investment you need to enter it twice, once for each investment type. Please refer to the latest Supplementary Information Document for the minimum additional investment you are allowed to make. If you are topping up an existing holding within an income paying fund that you are currently taking an income from, you will continue to do so with the shares purchased by the top-up unless otherwise advised.

*If you wish to top up an ISA investment but have not yet subscribed to a current tax year ISA then this form should not be used and you should contact us for the correct one or visit our website.

	Income required ¹	Held within an ISA?
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund name <input type="text"/>		
Amount you wish to top up (£) <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. Only applicable to funds paying income.

5. Income payments

Only complete this section if you have selected income to be paid to you in section 3 or 4.

If you have selected income to be paid to you from any of your chosen funds we will require your bank account details. Without these details we cannot pay income and will reinvest for you instead. Please note it is not possible to take income while making regular investment. If you are topping up an existing holding within an income paying fund that you are currently taking an income from, you will continue to do so with the shares purchased by the top-up unless otherwise advised.

Full name and address of UK bank/building society	<input type="text"/>												
	<input type="text"/>												
	Postcode												
Name of account holder(s)	<input type="text"/>												
Account number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Sort code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Building society reference (if applicable)	<input type="text"/>												
Please tick this box if the details given above are to replace any existing distribution mandate we may hold. If the box is not ticked the income details will only apply to the fund(s) specified on the form.													<input type="checkbox"/>

6. Amending your Direct Debit details

Only complete this section if you wish to change the amount you invest monthly.

If you are amending a fund in both an ISA and a non-ISA investment you need to enter it twice, once for each investment type. You can also use this section to add new funds and stop investing in existing funds.

If you are not currently investing monthly with us and wish to start then this form should not be used and you should contact us for the correct one. Please see the Supplementary Information Document for details on the minimum monthly investment levels for funds.

Fund name	Existing regular monthly amount (£)	New monthly amount (£)	Held within an ISA?
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

7. Privacy Notice

Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at www.avivainvestors.com or request a copy by writing to us at the address stated in the “Contacting us” section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

Personal information we collect and how we use it

We will use your personal information:

- To provide you with your investment: we need this to set up and administer your investment,
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth and Contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with setting up your investment.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

7. Privacy Notice (continued)

How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;
- With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area (“EEA”). We’ll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors, 80 Fenchurch Street, London EC3M 4AE or email dpoffice@avivainvestors.com

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner’s Office at any time.

Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva’s products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

8. Prevention of money laundering

In accordance with EU and UK legislation relating to the prevention of money laundering we are obliged to verify the identity and address of all parties to this contract (e.g. planholder, third parties including beneficial owners). In the case of legal arrangements we are also required to establish the identity of any controllers that are not named parties as well as individuals who have a specified beneficial interest in the contract.

Where a financial adviser or Aviva Investors Representative is involved they will let you know what evidence you need to produce. If you are applying to us direct we will verify your identity with a third party identity verification company.

In certain circumstances you may be required to provide further evidence of your identity and confirmation of address, in which case Aviva Investors will contact you. If the product you are applying for allows payment by cheque and you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn.

9. Delivery versus payment (DVP) exemption

We may use the Delivery Versus Payment (DVP) exemptions for Collective Investment Schemes and Commercial Settlement Systems as stated in the Financial Conduct Authority's Client Assets Sourcebook.

The DVP exemption will be used in the following circumstances:

- For investments and withdrawals when you pay money to us, or we pay proceeds to you, by electronic bank transfer or via a commercial settlement system.

When the DVP exemption is used your money will not be protected as client money during the following periods:

- For investments and withdrawals, made by electronic bank transfer from the day we receive your money (for investments), or the day we are due to pay the proceeds to you (for withdrawals), up to the close of the next business day.
- For investments and withdrawals, made via a commercial settlement system, from the day we receive your money (for investments), or the day we are due to pay the proceeds to you (for withdrawals), up to the close of business three business days later.

The DVP exemption means that where your money is not treated as client money, as outlined above, it will not be held in a segregated client bank account and will not be protected from the insolvency of Aviva Investors UK Fund Services Limited.

We will not use the DVP exemption where you pay for your investment by cheque, debit card, or Direct Debit. For these methods of payment your money will be treated as client money and protected from the time of receipt.

We will not use the DVP exemption where the proceeds of your withdrawal are to be paid by cheque. For this method of payment your money will be treated as client money and protected from the date we issue the cheque until you cash it.

10. Declaration

You must complete this section.

The Key Investor Information Document(s) and Supplementary Information Document for the Aviva Investors Funds are important and you should take time to read them.

- I am/we are 18 years of age or over.
- I/we have read the latest relevant Key Investor Information Document(s) and Supplementary Information Document and are aware that I/we should retain a copy of these for my/our future reference.
- I/we confirm that no financial advice has been received in respect of this investment other than from the financial adviser, if any, named on this application below unless otherwise indicated.
- I/we understand that you may undertake a search with a third party company who provide identity verification services for the purposes of verifying my/our identity and the details I/we have submitted as part of this application. To do so the third party company may check the details I/we supply against any particulars on any database (public or otherwise) to which they have access. They may also use my/our details in future to assist other companies for verification purposes. A record of the search will be retained.
- I/we agree to notify Aviva Investors UK Fund Services Limited immediately in the event the tax residency information changes.
- I/we declare that the information given in this Application Form is correct to the best of my/our knowledge and belief.
- All beneficial owners and other associated parties are known to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and anti-money laundering verification provisions as outlined in sections 7 and 8 above and in the Supplementary Information Document.
- I consent to Aviva Investors UK Fund Services Limited using the Delivery versus Payment (DVP) exemption referred to above and as described in the Aviva Investors Investment ISA Terms & Conditions and understand that my money will not be protected from the insolvency of Aviva Investors UK Fund Services Limited during the periods covered by the exemption.

Signature of applicants	<input type="text"/>	Date	<input type="text"/>
Signature of applicants	<input type="text"/>	Date	<input type="text"/>
Signature of applicants	<input type="text"/>	Date	<input type="text"/>
Signature of applicants	<input type="text"/>	Date	<input type="text"/>

11. Checklist

Before you send in this application, please complete the following checklist to ensure that you have fully completed this application. Failure to fully complete this application will delay the processing, and we will have to return it to you.

<input type="checkbox"/> Personal details	<input type="checkbox"/> Declaration signed and dated
<input type="checkbox"/> Income payments	<input type="checkbox"/> Cheque enclosed or Direct Debit details completed

12. For Financial Advisers' use only

I/We have seen the Aviva Investors Terms of Business for Firms as in force from time to time, the latest version of which can be found at www.avivainvestors.com/tob, and agree that this application constitutes "Business" as defined in and is therefore subject to those terms.

Signature of adviser	<input type="text"/>	Date	<input type="text"/> / <input type="text"/> / <input type="text"/>
Full name and address of agent	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/> Postcode		
Firm reference number	<input type="text"/>		
Agent number	<input type="text"/>		
Please tick this box if no advice has been given	<input type="checkbox"/>		

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