

SVS CORNELIAN FUNDS

PLEASE READ THE ENCLOSED KEY INVESTOR INFORMATION DOCUMENT PRIOR TO COMPLETING THIS APPLICATION FORM

A COPY OF THE FULL PROSPECTUS IS AVAILABLE FREE OF CHARGE ON REQUEST

IF YOU HAVE ANY QUERIES PLEASE CONTACT SMITH & WILLIAMSON FUND ADMINISTRATION LIMITED ON 0141 222 1151
FOR INSTITUTIONAL INVESTORS THE APPLICATION CAN BE FAXED TO 020 7131 8261 WITH THE ORIGINAL TO FOLLOW IN THE POST

Pages 1-3 should be completed by individual investors only. For Institutional investors please turn to page 4

Please note that the fields marked with an asterisk (*) are mandatory

First Applicant (block capitals)

Title*	
Forename(s) (in full)*	
Surname*	
Address – Permanent Residence Address* <i>Including postcode</i>	
Address - Mailing / Correspondence Address if different from above <i>Including postcode</i>	
Daytime telephone number*	
Email address	
Date of Birth*	
Place of Birth (Town or City)*	
Country of Birth*	
National Insurance No*	

It is essential we know about any foreign tax aspect of your affairs and we may require further information.

If you do not possess a UK National Insurance Number, are non-UK domiciled, or have multiple nationalities, citizenships or residencies, please detail all information per country below:

Country	Nationality or Citizenship	Residency for Tax	Tax ID Number (National Identifier)	I do not have a Tax ID Number

If you are a Tax Resident of a country and you do not possess the relevant National Identifier please provide a reason as to why below:

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DESIGNATION (Maximum of 15 characters)

Please state your preferred designation (if required). The holding may not be registered in the name of a minor (under 18 years of age) but should be registered in the name of an adult and designated in favour of the minor using the child's initials e.g. John Brown a/c RB.

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BENEFICIAL OWNER OR TRUSTEE DETAILS

If the beneficial owner or trustees, are non UK domiciled, or have multiple nationalities, citizenships or residencies, please detail all information below.

Title*	
Forename(s) (in full)*	
Surname*	
Address – Permanent Residence Address* <i>Including postcode</i>	
Address - Mailing / Correspondence Address if different from above <i>Including postcode</i>	
Daytime telephone number*	
Email address	
Date of Birth*	
Place of Birth (Town or City)*	
Country of Birth*	
National Insurance No*	

It is essential we know about any foreign tax aspect of your affairs and we may require further information.

If you do not possess a UK National Insurance Number, are non-UK domiciled, or have multiple nationalities, citizenships or residencies, please detail all information per country below:

Country	Nationality or Citizenship	Residency for Tax	Tax ID Number (National Identifier)	I do not have a Tax ID Number

If you are a Tax Resident of a country and you do not possess the relevant National Identifier please provide a reason as to why below:

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For more than one applicant please also complete the Joint Applicant section

VERIFICATION

In order to comply with our obligations under anti-money laundering legislation we are required to verify the identity of all new applicants. To enable us to comply with the legislation please produce one document from List A **OR** one document from List B and one document from List C below. Please provide us with current copies certified by one of the following:

- Accountant
- Solicitor/Barrister
- Magistrate/Judge
- Embassy/Consular Official
- Doctor/Dentist
- Director/Officer/Senior Manager of a regulated financial institution (low risk country)
- Bank officer
- FCA approved person
- Police Officer/Customs Officer
- Post Office (document certification service)

The certification should include the certifier's name, profession, place of work or company stamp, date of certification and confirmation that the original has been seen. For security reasons please do not send original documents.

List A	List B	List C
Full UK or other national passport	Valid old-style UK Driving Licence	Instrument of court appointment (liquidator or grant of probate)
UK or other national photo card driving licence	Recent evidence of entitlement to state or local government funded benefit, tax credit, personal education or other grant	Utility bill (but not printed off the internet) Current Council tax demand, letter or statement
National ID Card (Non-UK Nationals)		Current bank, building society, credit/debit card statement issued by a regulated firm in the UK, EU or similar jurisdiction (but not printed from the internet).
Firearms certificate or shotgun licence		

FUND DETAILS

Please see the prospectus for an indication of the target market of the Fund as required under MiFID II regulations. The target market is fully detailed in the European MIFID II Template (EMT) which is available to you for review on our website at the following address <http://smithandwilliamson.com/emt>.

****If you do not believe you fit the criteria of the target market of this Fund please seek advice from your professional adviser****

Registration Details for institutional investors – Individual investors please turn to page 5

Entity Name	
Registered Address	
Postcode	
Country of Incorporation or Organisation	

DESIGNATION (Maximum of 15 characters)

Please state the designation in the box below.

BENEFICIAL OWNER

If the beneficial owner of the investment is different to the named applicant(s) please disclose the full name(s) of individual(s) or organisations that ultimately own or control the investment. There are additional requirements for partnerships, trusts and executors and personal representatives for the estates of deceased persons. Please telephone the Transfer Agency Team on 0141 222 1151 for further details.

VERIFICATION

Please provide an authorised signatory list for the institution for which the investment will be registered. This must be certified by at least one of the authorised signatories included in that list and accompanied by adequate identification documentation. If you have any queries at to what information to provide for verification purposes, please call the Transfer Agency Team on 0141 222 1151.

INVESTMENT

Please indicate the amount you wish to invest in the UT/OEIC(s). (Please note the minimum initial investment for each UT/OEIC:

SVS Cornelian Cautious Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Cautious Fund B Accum (GB00B06H8S84)	£	£1,000		£
SVS Cornelian Cautious Fund B Income (GB00B06H9077)	£	£1,000		£
SVS Cornelian Cautious Fund D Accum (GB00B3WCDF03)	£	£1,000,000		£
SVS Cornelian Cautious Fund D Income (GB00B3XLXY53)	£	£1,000,000		£
SVS Cornelian Cautious Fund E Accum (GB00B06H8R77))	£	£1,000		£
SVS Cornelian Cautious Fund E Income (GB00B06H8T91)	£	£1,000		£
SVS Cornelian Cautious Fund F Accum (GB00BKJ8QY00)	£	£50,000,000		£
SVS Cornelian Cautious Fund F Income (GB00BKJ8QX92)	£	£50,000,000		£

SVS Cornelian Growth Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Growth Fund B Accum (GB00B06H6T51)	£	£1,000		£
SVS Cornelian Growth Fund B Income (GB00B06H6Z12)	£	£1,000		£
SVS Cornelian Growth Fund D Accum (GB00B3RMNL16)	£	£1,000,000		£
SVS Cornelian Growth Fund D Income (GB00B68Y9S62)	£	£1,000,000		£
SVS Cornelian Growth Fund E Accum (GB00B06H6P14)	£	£1,000		£
SVS Cornelian Growth Fund E Income (GB00B06H8L16)	£	£1,000		£
SVS Cornelian Growth Fund F Accum (GB00BKJ8R031)	£	£50,000,000		£
SVS Cornelian Growth Fund F Income (GB00BKJ8QZ17)	£	£50,000,000		£

SVS Cornelian Defensive Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Defensive Fund B Accum (GB00B5MV2N21)	£	£1,000		£
SVS Cornelian Defensive Fund B Income (GB00B5LZQW27)	£	£1,000		£
SVS Cornelian Defensive Fund D Accum (GB00B5N17T22)	£	£1,000,000		£
SVS Cornelian Defensive Fund D Income (GB00B5L3SC02)	£	£1,000,000		£
SVS Cornelian Defensive Fund E Accum (GB00B5LDRK18)	£	£1,000		£
SVS Cornelian Defensive Fund E Income (GB00B5MDVR55)	£	£1,000		£
SVS Cornelian Defensive Fund F Accum (GB00BKJ8R254)	£	£50,000,000		£
SVS Cornelian Defensive Fund F Income (GB00BKJ8R148)	£	£50,000,000		£

SVS Cornelian Progressive Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Progressive Fund B Accum (GB00B5M3PY07)	£	£1,000		£
SVS Cornelian Progressive Fund B Income (GB00B5M2SY88)	£	£1,000		£
SVS Cornelian Progressive Fund D Accum (GB00B5LY2097)	£	£1,000,000		£
SVS Cornelian Progressive Fund D Income (GB00B5Q8N588)	£	£1,000,000		£
SVS Cornelian Progressive Fund E Accum (GB00B5LY1S07)	£	£1,000		£
SVS Cornelian Progressive Fund E Income (GB00B5LY2F43)	£	£1,000		£
SVS Cornelian Progressive Fund F Accum (GB00BKJ8R692)	£	£50,000,000		£
SVS Cornelian Progressive Fund F Income (GB00BKJ8R585)	£	£50,000,000		£

SVS Cornelian Managed Growth Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Managed Growth Fund B Accum (GB00B3N2JN93)	£	£1,000		£
SVS Cornelian Managed Growth Fund B Income (GB00B3P4L931)	£	£1,000		£
SVS Cornelian Managed Growth Fund D Accum (GB00B3KXCP84)	£	£1,000,000		£
SVS Cornelian Managed Growth Fund D Income (GB00B3N13674)	£	£1,000,000		£
SVS Cornelian Managed Growth Fund E Accum (GB00B3MDJQ62)	£	£1,000		£
SVS Cornelian Managed Growth Fund E Income (GB00B3MK9X46)	£	£1,000		£
SVS Cornelian Managed Growth Fund F Accum (GB00BKJ8R478)	£	£50,000,000		£
SVS Cornelian Managed Growth Fund F Income (GB00BKJ8R361)	£	£50,000,000		£

SVS Cornelian Managed Income Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Managed Income Fund D Accum (GB00BVL87L96)	£	£1,000		£
SVS Cornelian Managed Income Fund D Income (GB00BV9GGB80)	£	£1,000		£
SVS Cornelian Managed Income Fund E Accum (GB00BVL87M04)	£	£1,000,000		£
SVS Cornelian Managed Income Fund E Income (GB00BV9GGC97)	£	£1,000,000		£
SVS Cornelian Managed Income Fund F Accum (GB00BVL87N11)	£	£1,000		£
SVS Cornelian Managed Income Fund F Income (GB00BKJ8R361)	£	£1,000		£

SVS Cornelian Cautious RMP Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Cautious RMP G Accum (GB00BD730136)	£	£1,000,000		£
SVS Cornelian Cautious RMP G Income (GB00BD6FNS84)	£	£1,000,000		£
SVS Cornelian Cautious RMP H Acc (GB00BD730243)	£	£30,000,000		£
SVS Cornelian Cautious RMP H Inc (GB00BD730029)	£	£30,000,000		£

SVS Cornelian Growth RMP Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Growth RMP G Accum (GB00BD730466)	£	£1,000,000		£
SVS Cornelian Growth RMP G Income (GB00BD6FSP09)	£	£1,000,000		£
SVS Cornelian Growth RMP H Acc (GB00BD730573)	£	£30,000,000		£
SVS Cornelian Growth RMP H Inc (GB00BD730359)	£	£30,000,000		£

SVS Cornelian Defensive RMP Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Defensive RMP G Accum (GB00BD72ZR10)	£	£1,000,000		£
SVS Cornelian Defensive RMP G Income (GB00BD6FSJ49)	£	£1,000,000		£
SVS Cornelian Defensive RMP H Acc (GB00BD72ZS27)	£	£30,000,000		£
SVS Cornelian Defensive RMP H Inc (GB00BD72ZQ03)	£	£30,000,000		£

SVS Cornelian Progressive RMP Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Progressive RMP G Accum (GB00BD72ZV55)	£	£1,000,000		£
SVS Cornelian Progressive RMP G Income (GB00BD6FSK53)	£	£1,000,000		£
SVS Cornelian Progressive RMP H Acc (GB00BD72ZW62)	£	£30,000,000		£
SVS Cornelian Progressive RMP H Inc (GB00BD72ZT34)	£	£30,000,000		£

SVS Cornelian Managed Growth RMP Fund

Fund Name	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	SHARES TO BUY	MONTHLY SUBSCRIPTION (Please complete Direct Debit Mandate)
SVS Cornelian Managed Growth RMP G Accum (GB00BD72ZY86)	£	£1,000,000		£
SVS Cornelian Managed Growth RMP G Income (GB00BD6FSM77)	£	£1,000,000		£
SVS Cornelian Managed Growth RMP H Acc (GB00BD72ZZ93)	£	£30,000,000		£
SVS Cornelian Managed Growth RMP H Inc (GB00BD72ZX79)	£	£30,000,000		£

DECLARATION AND SIGNATURES

- I/We have read the Key Investor Information Document (KIID)
- I/We have read the European MIFID II Template (EMT) and fit the criteria of the target market of this Fund
- I/We understand that Smith and Williamson may need to use credit reference/information agencies in order to satisfy Smith and Williamson's statutory money laundering obligations. These agencies may keep a record of this enquiry.
- I/We confirm that all applicants are at least 18 years of age.
- I/We understand that where required by the FCA's client money rules, Smith & Williamson will hold money received on my/our behalf in accordance with those rules in a pooled client bank account, with an approved bank (as defined in the FCA Rules) in the UK. No interest will be payable to me/us in respect of such money. Further information is contained within the fund prospectus regarding the way we hold client money and the protections available under the Financial Services Compensation Scheme.
- I/We understand that where over-payments of less than £1.00 are received for investments, it is Smith and Williamson's policy to write these over-payments off.

Signature – APPLICANT 1	Date
Signature – APPLICANT 2	Date
Signature – APPLICANT 3	Date
Signature – APPLICANT 4	Date

FINANCIAL ADVISER DETAILS (if applicable) Note that in accordance with FCA rules, commission refers to legacy / non-advised / execution only services

Name	
Company	
Address	
Postcode	Telephone No

COMMISSION

	%
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DISCOUNT

	%
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CONTACT DETAILS

Smith & Williamson Fund Administration Limited
206 St Vincent Street
Glasgow
G2 5SG

Telephone Number – 0141 222 1150
Fax Number – 020 7131 8261

DATA PROTECTION

We may collect, record and use information about you or other relevant individuals, in physical and electronic form and will hold, use and otherwise process the data in accordance with the General Data Protection Regulation (EU) 2016/679 ("GDPR") and as set out in our Fair Processing Notice. We shall record any information (including, where appropriate, personal data as defined in the GDPR) which we receive about you and your investments (whether in relation to this Fund or any other) and will organise and process such information as we think appropriate in connection with the administration of your investments.

We may: (i) process or disclose your information where under a legal or regulatory obligation to do so; (ii) use your information for research and statistical analysis purposes; and (iii) disclose your information to third party entities which provide us with administrative support and technological back up services.

We may disclose your information to third party promoters of this Fund only (but not to any other third parties) for research, statistical analysis and administration purposes.

Any person about whom we hold personal data has the right to obtain a copy of that personal data.

For more detail about how we process your data, the legal basis for processing and your rights in relation to this processing, please request a copy of our Fair Processing Notice or obtain a copy online at www.smithandwilliamson.com.

Complaints Procedure

We have in place an internal complaints-handling procedure and in the event of dissatisfaction you should address any complaint, in the first instance, to our Head of Legal & Compliance at our registered office as detailed below. A copy of our complaints handling procedure is available on request.

Financial Ombudsman Service

In the event that we are unable to resolve your complaint to your satisfaction, you may have the right to complain directly to the Financial Ombudsman Service, which is an independent service set up by law to resolve disputes between consumers and financial institutions. If you are an individual acting for purposes outside your trade, business, craft or profession, you may have the right to complain directly to the Financial Ombudsman Service, more information on this scheme is available from us on request. The contact details of the Financial Ombudsman Service are as follows:

Financial Ombudsman Service
Exchange Tower
London E14 9SR
Telephone no. 0800 023 4567

Website: www.financial-ombudsman.org.uk

Smith & Williamson Fund Administration Limited
Registered in England at 25 Moorgate, London EC2R 6AY No 1934644
Authorised and regulated by the Financial Conduct Authority

Smith & Williamson Fund Administration Limited

Please fill in the whole form in BLOCK CAPITALS using a ball point pen and send it to:

Smith & Williamson Fund Administration Limited
 206 St Vincent Street
 Glasgow
 G2 5SG

Service User Number

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Reference

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Name(s) of Account Holder(s)

Instruction to your Bank or Building Society
 Please pay Smith & Williamson Fund Administration Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this instruction may remain with Smith & Williamson Fund Administration Limited and, if so, details will be passed electronically to my Bank/Building Society.

Bank/Building Society account number

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Branch Sort Code

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Signature(s):

Date:

To the Manager:	
Bank/Building Society	
Address:	
	Postcode:

Banks and Building Societies may not accept Direct Debit Instructions from some types of account

This guarantee should be detached and retained by the Payer

The Direct Debit Guarantee



- This Guarantee is offered by all banks or building Societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit, Smith & Williamson Fund Administration Limited will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request Smith & Williamson Fund Administration Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit by Smith & Williamson Fund Administration Limited or your Bank or Building Society, you are entitled to a full and immediate refund of the amount paid from your bank or building Society
- If you receive a refund you are not entitled to, you must pay it back when Smith & Williamson Fund Administration Limited asks you to