

LIONTRUST ACCOUNT OPENING APPLICATION FORM

Application Form for Corporate, Nominee and Non-Individual Investors

This application form is for opening an account and for lump sum investments into a Liontrust Fund. Failure to complete all relevant parts of the appropriate sections will delay your application.

Please complete, where relevant, ALL sections of this Application Form either electronically or by hand in BLOCK CAPITALS and black ink. Please note that all signature sections will need to be signed by hand. Return completed forms to: Liontrust Fund Partners LLP, PO Box 373, Darlington, DL1 9RQ.

Please settle any amounts due by bank transfer to:

NatWest Bk City of London Office

Sort code: 60-00-01

Account number: 48744069

Account name: Liontrust Fund Partners LLP Dealing Account

IBAN: GB85NWBK60000148744069

BIC/SWIFT: NWBKGB2L

If you have any queries, please contact our Customer Services Team:

Telephone: 0344 892 0349 (overseas: +44 203 528 4110)

Facsimile: 020 7964 2562 (overseas: +44 207 964 2562)

For overseas and UK tracked / signed for mail:

Liontrust Fund Partners LLP, 373/9RQ, 11B Lingfield Close, Lingfield Point, Darlington, DL1 1AX

E-mail: liontrustadmin@bnymellon.com Website: www.liontrust.co.uk

1 CUSTOMER TYPE

What type of non-individual customer is the applicant?

- Corporate Entity (go to section 2).
- UK/EU Regulated Financial Services Firm or Nominee Firm (go to section 3).
- Partnership or Unincorporated Business (go to section 4).
- UK Registered Charity or Church Body (go to section 5).
- UK Approved Occupational Pension Scheme (go to section 6).
- Trust (go to section 7).
- Unincorporated Club or Society (go to section 8).

If the applicant is not one of the above customer types, please contact Liontrust. Please note investments cannot be registered in the name of the any legal arrangement that is formed as a trust, including occupational pension schemes.

2 CORPORATE ENTITY

The investment will be registered in the name of the corporate entity.

FULL LEGAL NAME OF THE CORPORATE ENTITY

ADDRESS OF CORPORATE ENTITY

TOWN / CITY

POSTCODE

COUNTRY OF INCORPORATION

IS THE FIRM PUBLICLY LISTED?

YES ☐ NO ☐

REGISTERED NUMBER OR LISTING CODE

For Private or Unlisted Companies

NAMES OF ALL DIRECTORS

NAME AND ADDRESS OF ANY ENTITIES WHO OWN OR CONTROL OVER 25% OF ITS SHARES / VOTING RIGHTS (E.G. THE PARENT COMPANY)

TOWN / CITY

POSTCODE

NAME, ADDRESS AND DATE OF BIRTH OF ANY INDIVIDUALS WHO OWN OR CONTROL OVER 25% OF ITS SHARES / VOTING RIGHTS

TOWN / CITY

POSTCODE

DATE OF BIRTH

2 CORPORATE ENTITY (CONTINUED)

NAME, ADDRESS AND DATE OF BIRTH OF ANY OTHER INDIVIDUALS WHO OTHERWISE EXERCISE CONTROL OF THE COMPANY

TOWN / CITY	POSTCODE	DATE OF BIRTH
		DD / MM/ YYYY

For Private or Unlisted Companies please supply copies of the Memorandum and Articles of Association (or equivalent), the latest report and accounts for any entities associated to the account. ☐

For all Corporate Entities please supply an authorised signatories list with this application form.

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3 UK / EU REGULATED FINANCIAL SERVICES FIRM OR NOMINEE FIRM

The investment will be registered in the name of the financial services firm or nominee firm.

FULL LEGAL NAME OF THE FIRM OR NOMINEE

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ADDRESS OF FIRM OR NOMINEE

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TOWN / CITY	POSTCODE
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NAME OF REGULATORY AUTHORITY	REGULATOR AUTHORITY REFERENCE NO.
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FULL NAME OF FIRM'S PARENT COMPANY (IF NOMINEE)	PARENT'S REGULATORY AUTHORITY REFERENCE NUMBER (IF NOMINEE)
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Please supply an authorised signatories list with this application form.

4 PARTNERSHIP OR UNINCORPORATED BUSINESS

This investment can be registered in the names of up to 4 partners/principals (please specify).

FULL LEGAL NAME OF THE PARTNERSHIP OR UNINCORPORATED BUSINESS

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ADDRESS OF PARTNERSHIP OR UNINCORPORATED BUSINESS

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TOWN / CITY	POSTCODE
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NAME OF ALL PARTNERS / PRINCIPALS WHO EXERCISE CONTROL OVER THE MANAGEMENT OF THE PARTNERSHIP

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NAME, ADDRESS AND DATE OF BIRTH OF THE PARTNERS/PRINCIPALS IN WHOSE NAMES THE INVESTMENT IS TO BE REGISTERED

TOWN / CITY	POSTCODE	DATE OF BIRTH
		DD / MM/ YYYY

1

TOWN / CITY	POSTCODE	DATE OF BIRTH
		DD / MM/ YYYY

2

TOWN / CITY	POSTCODE	DATE OF BIRTH
		DD / MM/ YYYY

3

4 PARTNERSHIP OR UNINCORPORATED BUSINESS (CONTINUED)

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

4

NAME, ADDRESS AND DATE OF BIRTH OF ANY INDIVIDUALS WHO OWN OR CONTROL OVER 25% OF ITS CAPITAL OR PROFIT OR VOTING RIGHTS

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

Please supply a copy of the partnership deed or equivalent.

5 UK REGISTERED CHARITY OR CHURCH BODY

The investment will be registered in the legal name of the charity if incorporated or the names of up to 4 trustees/officers (please specify) if the applicant is an unincorporated charity or church body.

FULL LEGAL NAME OF THE CHURCH OR CHURCH BODY

ADDRESS OF THE CHURCH OR CHURCH BODY

TOWN / CITY

POSTCODE

NAME OF ALL TRUSTEES / OFFICERS (OR EQUIVALENT)

REGISTERED COMPANY NUMBER (IF INCORPORATED)

NAME, ADDRESS AND DATE OF BIRTH OF THE PARTNERS/PRINCIPALS IN WHOSE NAMES THE INVESTMENT IS TO BE REGISTERED (IF UNINCORPORATED CHARITY OR CHURCH BODY)

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

1

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

2

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

3

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

4

NAME OF OR CLASSES OF BENEFICIARIES

Please supply an authorised signatories list with this application form (if an incorporated charity).

6 UK APPROVED OCCUPATIONAL PENSION SCHEME (CONTINUED)

This investment will be registered in the names of up to 4 trustees (please specify).

FULL NAME OF THE SCHEME

NAMES OF ALL TRUSTEES (INDIVIDUAL AND OR CORPORATE)

NAME, ADDRESS AND DATE OF BIRTH (IF APPLICABLE) OF THE TRUSTEES IN WHOSE NAMES THE INVESTMENT IS TO BE REGISTERED

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 1

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 2

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 3

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 4

Please supply evidence of the scheme's approved status (for example, the HMRC approval letter) and an authorised signatories list with this application form.

7 TRUST

This investment will be registered in the names of up to 4 trustees (please specify).

FULL NAME OF THE TRUST

COUNTRY OF ESTABLISHMENT

NATURE AND PURPOSE OF THE TRUST

NAMES OF ALL TRUSTEES

NAME, ADDRESS AND DATE OF BIRTH OF THE OFFICERS IN WHOSE NAMES THE INVESTMENT IS TO BE REGISTERED

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 1

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 2

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 3

TOWN / CITY

POSTCODE

DATE OF BIRTH

 DD / MM/ YYYY

 4

7 TRUST (CONTINUED)

NAME, ADDRESS AND DATE OF BIRTH OF ANY NOMINATED BENEFICIARIES

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

OR CLASSES OR BENEFICIARIES (IF APPLICABLE)

NAME OF DIRECTOR

NAME OF SETTLOR

Please supply an extract from the trust deed to confirm the above information.

8 UNINCORPORATED CLUB OR SOCIETY

This investment will be registered in the names of up to 4 officers (please specify).

FULL NAME OF CLUB OR SOCIETY

LEGAL STATUS OF THE CLUB OR SOCIETY

NATURE AND PURPOSE OF THE CLUB OR SOCIETY

NAME OF ALL THE OFFICERS

NAME, ADDRESS AND DATE OF BIRTH OF THE OFFICERS IN WHOSE NAMES THE INVESTMENT IS TO BE REGISTERED

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

1

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

2

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

3

TOWN / CITY

POSTCODE

DATE OF BIRTH

DD / MM/ YYYY

4

9 ENTITY SELF-CERTIFICATION

Tax regulations¹ require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with the relevant tax authorities. If you have any questions about your organisation's classifications in the form below, please contact your tax adviser. Please see explanatory notes for key definitions. Should any information provided change in the future, please ensure you advise us promptly.

****In order for this form to be valid all sections 1 to 4 must be completed**** Please refer to Appendix 1 for notes.

Section 1: Tax residency information

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

1.1. PLEASE STATE THE COUNTRY IN WHICH YOUR ORGANISATION IS RESIDENT FOR TAX PURPOSES

1.2. PLEASE PROVIDE US WITH YOUR ORGANISATION'S TAX IDENTIFICATION NUMBER

9 ENTITY SELF-CERTIFICATION (CONTINUED)

Section 2A: Organisation's classification

Please tick only one box with reference to the tax residency stated in box 1.1.

If your organisation is a Financial Institution⁵, please specify which type:

1. UK Financial Institution⁵ or a Partner Jurisdiction Financial Institution⁶. ☐
2. Participating Foreign Financial Institution (in a non-IGA jurisdiction⁷). ☐
3. Non-Participating Foreign Financial Institution⁸(in a non-IGA jurisdiction⁷). ☐
4. Financial Institution resident in the USA or in a US Territory⁹. ☐
5. Exempt Beneficial Owner¹⁰. ☐
6. Deemed Compliant Foreign Financial Institution¹¹ (besides those listed above). ☐

If your organisation is not a Financial Institution⁵, please specify the entity's FATCA status below:

7. Active Non-Financial Foreign Entity¹². ☐
8. Passive Non-Financial Foreign Entity¹³. ☐

(If you tick this box, please include individual self-certification forms for each of your Controlling Persons⁴ available at www.liontrust.co.uk).

Section 2B: Complete this year only if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following and therefore not a Specified US Person¹⁶. ☐

- A regularly traded corporation on a recognised stock exchange.
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange.
- A government entity.
- Any bank as defined in section 581 of the U.S. Internal Revenue Code.
- A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the U.S. Internal Revenue Code.
- OR any other exclusion listed in Explanatory Note 16.

Section 3: Organisation's classification under the Reporting Standard (CRS)²

Please tick only one box in this section with reference to the tax residency stated in box 1.1.

1. Financial Institution¹⁷ (this includes Non-Reporting Financial Institutions¹⁸ such as a pension scheme, government entity, international organisation and other entities listed in Explanatory Note 18). ☐
 2. A professionally managed Investment Entity²³ outside of a CRS Participating Jurisdiction²⁴. ☐
- (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons⁴ available at www.liontrust.co.uk).
3. Active Non-Financial Entity²⁰ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation. ☐
 4. Active Non-Financial Entity²⁰ (other than those listed in 3.3 above). ☐
 5. Passive Non-Financial Entity²¹. ☐
- (If you tick this box, please include individual self-certification forms for each of your Controlling Persons⁴ available at www.liontrust.co.uk).

9 ENTITY SELF-CERTIFICATION (CONTINUED)

Section 4: Declaration for FACTA and CRS2

This section must be completed by hand.

*I/We declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. *I/We agree to notify Liontrust Fund Partners LLP immediately in the event that information on this self-certification form changes (including any changes to Controlling Persons).

SIGNED BY (PLEASE PRINT NAME)

ON BEHALF OF (ORGANISATION NAME)

POSITION (IN ORGANISATION)

ORGANISATION ADDRESS

TOWN / CITY

POSTCODE

SIGNATURE OF PERSON AUTHORISED TO SIGN

DATE OF BIRTH

DD / MM / YYYY

*Delete as appropriate (mandatory)

10 BENEFICIAL OWNERS

Except in relation to UK/EU regulated firms, for nominees majority owned by an UK/EU regulated firm or listed on a recognised exchange, we are required under the UK Anti-Money Laundering legislation to obtain details of beneficial owners or controllers who own or control more than 25% of the voting rights or are entitled to more than 25% of the company's profits. We are also required to establish the identity of any Directors, Trustees or other Controllers that are not named on the application form.

For applicants who are a corporate body or partnership please provide details below of any natural person(s) that directly own or control more than 25% of the voting rights in the body or partnership or who own or are entitled to more than 25% of its capital or profits. Should the applicant not be directly owned by a natural person(s), please send details of the ownership structure to us and upon receipt we will advise you of any further information that may be required from you.

For applicants acting as Trustee(s) (or similar), please provide details of all Settlers (even if deceased), any further Trustees or others (including Protectors) that have any control over the management of the trust or arrangement, and any named individuals or classes that have a potential entitlement to 25% or more of the property of the trust assets (even where discretion exists).

NAME OF ACCOUNT HOLDER(S) AS PER APPLICATION FORM

UNIT / SHAREHOLDER NUMBER (IF KNOWN)

NAME & TITLE

PERMANENT RESIDENTIAL ADDRESS

DATE OF BIRTH

CAPACITY*

DD / MM / YYYY

DD / MM / YYYY

DD / MM / YYYY

DD / MM / YYYY

*e.g. trustee, settlor, beneficiary, partner, shareholder etc.

10 BENEFICIAL OWNERS (CONTINUED)

Please also provide below details of any other Directors or Controllers who exercise control over the management of the corporate body, partnership or trust who are not beneficial owners:

NAME & TITLE	PERMANENT RESIDENTIAL ADDRESS	DATE OF BIRTH
		DD / MM / YYYY
		DD / MM / YYYY
		DD / MM / YYYY
		DD / MM / YYYY

11 INCOME

Some Liontrust funds issue Accumulation units or shares where any income is reflected in the price. Some funds issue Income units or shares and some funds issue both types. With Income units or shares, you can elect to have any income from your investment either paid out or reinvested at no additional charge. If no election is made (by completing the details below), income will automatically be reinvested to purchase additional units or shares which will be added to your holding when buying Income type units or shares.

Investors wishing to receive income must complete this section. If you wish to have income paid out, please supply your organisation's banking details. Payment is made by direct credit.

BANK OR BUILDING SOCIETY	SORT CODE
BRANCH ADDRESS	ACCOUNT NUMBER
POSTCODE	ACCOUNT NAME

12 DATA PROTECTION ACT

Liontrust will use your information to administer your investment, for fraud prevention and to analyse your investment needs. We may disclose your information to our service providers, regulator and other Liontrust group companies. Your data may be held outside the European Economic Area (EEA). However, the security of your information will be maintained at all times. You have a right to apply for a copy of the information we hold about you. We will keep you informed about products or services that may be of interest. If you prefer not to receive these details, please write to us.

13 ANTI-MONEY LAUNDERING AND IDENTITY VERIFICATION

Liontrust is required to make various checks on transactions to comply with requirements of the Proceeds of Crime Act 2002 and statutory regulations in relation to Money Laundering. These checks involve the need to obtain independent documentary evidence of the identity and permanent address of the person applying to open an Account and may be completed by verifying the details you supply against those held on any databases to which the Credit Reference Agency that Liontrust uses, has access.

Liontrust Fund Partners LLP registered in England No. OC351697. Registered office: 2 Savoy Court, London WC2R 0EZ. Authorised and regulated by the Financial Conduct Authority (No 518165).

14 INDICATE REDEMPTION PAYMENT INSTRUCTIONS

We are able to hold information on our system to enable us to pay the proceeds of a future redemption to a unit or shareholder's bank account without charge, but we need to verify ownership of the account first. To enable us to do this please forward an original, or a certified copy of the unit or shareholder's bank statement, no more than 3 months old, showing the account details; or a paying in slip; or a cancelled cheque or a letter from the unit or shareholder's bank confirming the account details.

Please note that all payments will be made in the name of the registered unit or shareholder only, no third-party payment will be undertaken. Any omission to complete these details for redemption requests could result in late or non-payment of redemption proceeds, or we will be forced to settle by cheque.

Alternatively, you or Liontrust may require that a Contractual Settlement Agreement (also known as a Coverall Agreement) be completed and recorded against any accounts. Liontrust can supply a blank agreement on request.

BANK OR BUILDING SOCIETY

ACCOUNT NAME

SORT CODE

ACCOUNT NUMBER

15 INTERMEDIARY DETAILS

To be completed by hand by an intermediary connected with this application form.

By placing your details here and by placing business with us, you are confirming that you have received, read, understood, and are bound by our Intermediary Terms of Business. The most recent version is available on the home page at www.liontrust.co.uk.

LIONTRUST ADVISER CODE (IF KNOWN) AND FCA NUMBER

SIGNATURE / STAMP

16 DECLARATION

Declaration to be completed by all applicants by hand.

Note: Liontrust Fund Partners LLP is unable to assess or provide advice on the suitability of this product for you or your individual circumstances, and therefore you will not benefit from the investor protections under the FCA rules on assessing suitability. If you have any questions about the suitability of this investment for you and would like to benefit from the additional protections provided under the FCA's rules on suitability, then please contact an authorised financial adviser.

- a) I/we have received and read an up-to-date version of the relevant Key Investor Information Document(s) ('KIID') as well as the Supplementary Information Document* for the fund(s) I/we wish to invest in.
- b) I/we apply for shares or units in the fund(s) and request Liontrust act in accordance with my/our instructions.
- c) I am/we are over the age 18 and I am/we are the beneficial owner(s) of this investment.

OR

- d) I/we have named below the beneficial owner(s) of this investment and confirm that they are over the age of 18 and are known to me/ us and I/we undertake to make those named below aware that they may be subject to the same data protection and identity verification provisions as outlined in this application form.
- e) I am/we are not a U.S. person, or a resident of the United States of America and I/we do not have an obligation to pay tax to the US tax authorities on my / our worldwide income. I/we will notify you immediately if I/we become resident in the United States of America at any time while I am/we are an investor in a Liontrust fund.

- f) I/we consent to your processing of my/our personal data as described in section 7 above. I/We authorise you to transfer my/our information to other companies in the Liontrust group and to relevant third parties and agree that you or they may contact me/us by e-mail, telephone, or post (where I/We have given you these contact details) to inform me/us about your products, services and events and those of other companies in the Liontrust group. I/We understand that I/we can contact you at any time to request you not to contact me/us for these purposes.
- g) I/we understand that you may use an external agency in order to obtain evidence of my/our identity. I/We confirm that, upon request, we will provide you or your agent with any further information reasonably required to verify our identity or which may be required to be provided to HM Revenue & Customs.
- h) (Where applicable) I/we have received information regarding the cost of advice provided from a financial adviser.
- i) I/we understand that, with respect to client money, you operate under the delivery versus payment exemptions as detailed in the Prospectus.

Please note: We or our agent may contact you in order to verify your identity and/or obtain further information from you. Reserves the right to withhold redemption proceeds or freeze your account until you have provided satisfactory proof of identity. In addition, the non-provision of information may result in mandatory redemption of Shares or other appropriate action taken at its discretion in accordance with the constitutional documents of the Company. Shareholders refusing to provide the requisite information may also be reported to HM Revenue & Customs. Tax Regulations require us to collect information about each investor's tax residency. Versions of self-certification forms for individuals and entities are available to download from our website. Please submit the appropriate version with your application form.

In certain circumstances, including if we do not receive a valid self-certification form) we may be obliged to share information on an account with HMRC.

SIGNATURE (FIRST-NAMED HOLDER)

DATE

SIGNATURE (JOINT HOLDER)

DATE

SIGNATURE (JOINT HOLDER)

DATE

SIGNATURE (JOINT HOLDER)

DATE

Please confirm whether you are a Politically Exposed Person **. ☐

*You can download the latest Key Investor Information Documents and the Supplementary Information Document at www.liontrust.co.uk.

**A Politically Exposed Person ('PEP') means an individual (or family member or close associate of such individual) who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function.

1.7 INVESTMENT DETAILS

Liontrust Funds

Minimum lump sum £1,000 (Retail classes) £5,000,000 (Institutional classes).

Please invest the following sums into the Fund(s) indicated below (tick one box only): Lump sum. ☐

	Share/Unit Type	ISIN	Minimum Investment	Cash	Units
Liontrust Balanced Fund Class C	Accum	GB00B85K7211	£250,000		
Liontrust Balanced Fund Class C	Income	GB00B83H6G14	£250,000		
Liontrust Balanced Fund Class D	Accum	GB00BFZC7371	£100,000,000		
Liontrust China Fund Class C	Accum	GB00B5Q38588	£250,000		
Liontrust Emerging Markets Fund Class C	Accum	GB00B8J6SV12	£250,000		
Liontrust European Dynamic Fund Class I	Income	GB00B4ZM1M76	£5,000,000		
Liontrust European Dynamic Fund Class I	Accum	GB00BMW30Z54	£5,000,000		
Liontrust Global Alpha Fund Class C	Accum	GB0031190555	£250,000		
Liontrust Global Dividend Fund Class B	Income	GB00BMBP2F66	£250,000		
Liontrust Global Dividend Fund Class C	Accum	GB00B9225P64	£250,000		
Liontrust Global Dividend Fund Class C	Income	GB00B91RFZ23	£250,000		
Liontrust Global Innovation Fund Class C	Accum	GB00B8DLY478	£250,000		
Liontrust Global Innovation Fund Class C	Income	GB00B28R3411	£250,000		
Liontrust Global Smaller Companies Fund Class C	Accum	GB00B29MXF68	£250,000		
Liontrust Global Technology Fund Class C	Accum	GB00BYXZ5N79	£250,000		
Liontrust Income Fund Class C	Accum	GB00B8JCR452	£250,000		
Liontrust Income Fund Class C	Income	GB00B8L7B355	£250,000		
Liontrust India Fund Class C	Accum	GB00B1L6DV51	£250,000		
Liontrust Institutional UK Small Cap Fund Class A	Accum	GB0033975722	£100,000		
Liontrust Institutional UK Small Cap Fund Class B	Accum	GB0033975839	£100,000		
Liontrust Japan Equity Fund Class C*	Accum	GB00BXDZFF23	£250,000		
Liontrust Japan Equity Fund Class C Hedged	Accum	GB00BXDZFG30	£250,000		
Liontrust Latin America Fund Class C	Accum	GB00B909HH53	£250,000		
Liontrust MA Blended Growth Fund Class S	Accum	GB00BCZW5H67	£1,000,000		
Liontrust MA Blended Intermediate Fund Class S	Accum	GB00BCZW5K96	£1,000,000		
Liontrust MA Blended Intermediate Fund Class S	Income	GB00BCZW5L04	£1,000,000		
Liontrust MA Blended Moderate Fund Class S	Income	GB00BBHXC47	£1,000,000		
Liontrust MA Blended Moderate Fund Class S	Income	GB00BCZW5986	£1,000,000		
Liontrust MA Blended Progressive Fund Class S	Accum	GB00BCZW5J81	£1,000,000		
Liontrust MA Blended Reserve Fund Class S	Income	GB00BCZW5C13	£1,000,000		
Liontrust MA Blended Reserve Fund Class S	Accum	GB00BCZW5D20	£1,000,000		
Liontrust MA Diversified Real Assets Class A	Accum	GB00BMP2ZL03	£1,000,000		
Liontrust MA Diversified Real Assets Class A	Income	GB00BMP2ZM10	£1,000,000		
Liontrust MA Dynamic Passive Adventurous Class Z	Accum	GB00B8FKSR32	£1,000,000		
Liontrust MA Dynamic Passive Adventurous Class S	Accum	GB00BCZW4Y67	£1,000,000		
Liontrust MA Dynamic Passive Growth Class Z	Accum	GB00B8FV4F68	£1,000,000		
Liontrust MA Dynamic Passive Growth Class S	Accum	GB00BCZW4X50	£1,000,000		
Liontrust MA Dynamic Passive Intermediate Class Z	Accum	GB00B8FQVG18	£1,000,000		
Liontrust MA Dynamic Passive Intermediate Class S	Accum	GB00BCZW4V37	£1,000,000		
Liontrust MA Dynamic Passive Moderate Class Z	Accum	GB00B78RJ827	£1,000,000		
Liontrust MA Dynamic Passive Moderate Class S	Accum	GB00BCZW4T15	£1,000,000		
Liontrust MA Dynamic Passive Moderate Class S	Income	GB00BWWCYX80	£1,000,000		
Liontrust MA Dynamic Passive Progressive Class Z	Accum	GB00B843VK75	£1,000,000		
Liontrust MA Dynamic Passive Progressive Class S	Accum	GB00BCZW4W44	£1,000,000		

17 INVESTMENT DETAILS

Liontrust MA Dynamic Passive Prudent Class Z	Accum	GB00B8KHC881	£1,000,000		
Liontrust MA Dynamic Passive Prudent Class S	Accum	GB00BCZW4Z74	£1,000,000		
Liontrust MA Dynamic Passive Reserve Class Z	Accum	GB00B8KTT492	£1,000,000		
Liontrust MA Dynamic Passive Reserve Class S	Accum	GB00BCZW4S08	£1,000,000		
Liontrust MA Explorer 35 Fund Class S	Income	GB00BCZW6M85	£1,000,000		
Liontrust MA Explorer 35 Fund Class S	Accum	GB00BCZW6N92	£1,000,000		
Liontrust MA Explorer Income 45 Fund Class S	Income	GB00BCZW6H33	£1,000,000		
Liontrust MA Explorer Income 45 Fund Class S	Accum	GB00BCZW6J56	£1,000,000		
Liontrust MA Explorer Income 60 Fund Class S	Accum	GB00BCZW6F19	£1,000,000		
Liontrust MA Explorer Income 60 Fund Class S	Income	GB00BCZW6G26	£1,000,000		
Liontrust MA Explorer 70 Fund Class S	Accum	GB00BCZW6C87	£1,000,000		
Liontrust MA Explorer 70 Fund Class S	Income	GB00BCZW6D94	£1,000,000		
Liontrust MA Explorer 85 Fund Class S	Accum	GB00BCZW6950	£1,000,000		
Liontrust MA Explorer 85 Fund Class S	Income	GB00BCZW6B70	£1,000,000		
Liontrust MA Explorer 100 Fund Class S	Accum	GB00BCZW6844	£1,000,000		
Liontrust MA Monthly High Income Fund Class S	Accum	GB00BCZW5S72	£1,000,000		
Liontrust MA Monthly High Income Fund Class S	Income	GB00BCZW5V02	£1,000,000		
Liontrust MA UK Equity Fund Class S	Accum	GB00BCZW5M11	£1,000,000		
<i>Liontrust Russia Fund Class C**</i>	Accum	GB00B86WB793	£250,000		
Liontrust SF Cautious Managed Fund Class 2	Income	GB00BMN90304	£500,000*		
Liontrust SF Corporate Bond Fund Class 2	Income	GB0030029069	£500,000*		
Liontrust SF Corporate Bond Fund Class 6	Accum	GB00B8BPH312	£500,000*		
Liontrust SF Defensive Managed Fund Class 2	Income	GB00BMN90635	£500,000*		
Liontrust SF European Growth Fund Class 2	Accum	GB0030029390	£500,000*		
Liontrust SF European Growth Fund Class 6	Income	GB00BNT8VC44	£500,000*		
Liontrust SF Global Growth Fund Class 2	Accum	GB0030030067	£500,000*		
Liontrust SF Managed Fund Class 2	Income	GB0030030398	£500,000*		
Liontrust SF Managed Fund Class 6	Accum	GB00B8FDBQ23	£500,000*		
Liontrust SF Managed Growth Fund Class 2	Accum	GB0030029622	£500,000*		
Liontrust SF Monthly Income Bond Fund Class B	Income	GB00B44MQ015	£1,000		
Liontrust SF Monthly Income Bond Fund Class B	Accum	GB00B3Y38F63	£1,000		
Liontrust SF Monthly Income Bond Fund Class P**	Income	GB00B3VW7G901	£1,000		
Liontrust SF Monthly Income Bond Fund Class P**	Accum	GB00B3RPTP62	£1,000		
Liontrust SF UK Growth Fund Class 2	Accum	GB0030028764	£500,000*		
Liontrust SF UK Growth Fund Class 6	Income	GB00BNT8VD50	£500,000*		
Liontrust Special Situations Fund Class I	Income	GB00B57H4F11	£5,000,000		
Liontrust Special Situations Fund Class I	Accum	GB00BGQJ2688	£5,000,000		
Liontrust Strategic Bond Fund Class B	Income	GB00BFX12P31	£1,000		
Liontrust Strategic Bond Fund Class B	Accum	GB00BFX14R94	£1,000		
Liontrust UK Equity Fund Class B	Accum	GB0032730698	£100,000		
Liontrust UK Equity Fund Class B	Income	GB00BBT3J657	£100,000		
Liontrust UK Equity Fund Class X	Accum	GB00B88NK732	£100,000		
Liontrust UK Equity Fund Class X	Income	GB00B8BH0R25	£100,000		
Liontrust UK Ethical Fund Class 2	Accum	GB00B8HCSD36	£500,000*		
Liontrust UK Focus Fund Class B	Accum	GB0033547372	£100,000		
Liontrust UK Focus Fund Class X	Accum	GB00B7S3QT06	£100,000		
Liontrust UK Focus Fund Class X	Income	GB00B8450512	£100,000		
Liontrust UK Growth Fund Class I	Income	GB00B56BDS09	£5,000,000		
Liontrust UK Growth Fund Class I	Accum	GB00BNGB8J22	£5,000,000		

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Liontrust UK Micro-Cap Fund Class I	Accum	GB00BDFYHP14	£5,000,000		
Liontrust UK Smaller Companies Fund Class I	Income	GB00B57TMD12	£5,000,000		
Liontrust UK Smaller Companies Fund Class I	Accum	GB00B8HWPP49	£5,000,000		
Liontrust US Opportunities Fund Class C	Accum	GB00B7K9LQ88	£250,000		
Liontrust US Opportunities Fund Class D	Accum	GB00BFZC7264	£100,000,000		
Overall Total Investment					

The Institutional classes are intended for larger investors. No Commission is payable.

THE AFM MAY WAIVE THE MINIMUMS AS THEIR DISCRETION

The 2 and 6 classes are intended for investors who deal direct or via an Intermediary on an advised or execution only basis. No Commission is payable. *THE ACD MAY WAIVE THE MINIMUM LEVELS AT ITS DISCRETION.

The B and P classes are intended for investors who deal direct or via an Intermediary on an advised basis or execution only. No Commission is payable. **Performance fee applies.

THE ACD MAY WAIVE THE MINIMUM LEVELS AT ITS DISCRETION.

** Liontrust, in agreement with the depositary and with the knowledge of our regulator, the Financial Conduct Authority (FCA), has made the decision to temporarily suspend dealing in the Russia Fund. Liontrust will keep the suspension under continual review.

Appendix 1

Explanatory Notes

The following explanatory notes are based on Tax Regulations as implemented in the UK. If you have any questions about your organisation's classification, please contact your tax adviser.

Definitions common to FATCA and CRS

¹Tax Regulations

The term "tax regulations" refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information².

²FATCA and CRS

FATCA

FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued there under, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

CRS

The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

³Non-Profit Organisation

An entity that meets ALL of the following criteria:

- i. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- ii. it is exempt from income tax in its country of residence;
- iii. it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- iv. the applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- v. the applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

⁴Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

Classifications under FATCA

⁵Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA². Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

⁶Partner Jurisdiction Financial Institution

A Partner Jurisdiction Financial Institution includes (a) any Financial Institution resident in the UK but excluding any branches of such Financial Institution that are located outside the UK and (b) any UK branch of a Financial Institution not resident in the UK. For these purposes, "Partner Jurisdiction" means any jurisdiction that has in effect an agreement with the US to facilitate the implementation of FATCA.

⁷Non-IGA jurisdiction

A non-IGA jurisdiction is one where there is no Model 1 or 2 Intergovernmental Agreement in place with the US in respect of FATCA²

⁸Non-Participating Foreign Financial Institution (NPFFI)

The term "Non-participating Foreign Financial Institution" means a non-participating FFI, as that term is defined in relevant U.S. Treasury Regulations, but does not include a United Kingdom Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution identified as a Non-participating Financial Institution pursuant to a determination by IRS or HMRC that there is significant non-compliance with FATCA obligations.

⁹US Territory

This term means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the US Virgin Islands.

¹⁰Exempt Beneficial Owner

The term “Exempt Beneficial Owner” means

- i. a UK Governmental Organisation;
- ii. an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- iii. a Central Bank; or
- iv. a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

¹¹Deemed Compliant Foreign Financial Institution

The term “Deemed Compliant Foreign Financial Institution” means

- i. Those entities classified as such in Annex II of the UK IGA, which includes Non-profit Organisations³ and Financial Institutions⁵ with a Local Client Base, or
- ii. Entities which otherwise qualify as such under the FATCA Regulations.

¹²Active Non-Financial Foreign Entity (NFFE)

An Active NFFE is any Non-Financial Foreign Entity¹⁴ that meets one of the following criteria:

- a. Less than 50 percent of the NFFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b. The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity¹⁵ of an Entity the stock of which is traded on an established securities market;
- c. The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;
- d. The NFFE is a non-U.S. government, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;
- e. Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFFE¹³
- f. The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;
- g. The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- h. The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity¹⁵ provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
 - i. The Entity is a Non-Profit organisation³;
 - ii. The NFFE is an “Excepted NFFE” as described in relevant U.S. Treasury Regulations.

¹³Passive Non-Financial Foreign Entity (PNFFE)

A Passive NFFE is any Non-Financial Foreign Entity¹⁴ that is not an Active NFFE¹².

¹⁴Non-Financial Foreign Entity (NFFE)

The term “NFFE” means any non-US Entity that is not treated as a Financial Institution⁵

¹⁵Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes director in direct ownership of more than 50 per cent of the vote or value in an entity.

¹⁶Specified US Person

The term “Specified U.S. Person” means a U.S. Person, other than:

- i. a corporation the stock of which is regularly traded on one or more established securities markets;
- ii. any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- iii. the United States or any wholly owned agency or instrumentality thereof;
- iv. any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- v. any organization exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- vi. any bank as defined in section 581 of the U.S. Internal Revenue Code;
- vii. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- viii. any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

- ix. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- x. any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- xi. a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or
- xii. a broker as defined in section 6045(c) of the U.S. Internal Revenue Code.

Classifications under CRS

¹⁷Financial Institution

The term “Financial Institution” means a Custodial Institution, a Depository Institution, an Investment Entity²³, or a Specified Insurance Company.

¹⁸Non-Reporting Financial Institution

The term “Non-Reporting Financial Institution” means any Financial Institution which is:

- a. a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- b. a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- c. any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in (a) or (b) above, and is included in the list of Non-Reporting Financial Institutions provided to the European Commission by the UK;
- d. an Exempt Collective Investment Vehicle; or
- e. a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

¹⁹Related Entity

An Entity is a “Related Entity” of another Entity if (i) either Entity controls the other Entity; (ii) the two Entities are under common control; or (iii) the two Entities are Investment Entities, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose, control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

²⁰Active Non-Financial Entity (NFE)

The term “Active NFE” means any NFE²² that meets any of the following criteria:

- a. less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b. the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹⁹ of an Entity the stock of which is regularly traded on an established securities market;
- c. the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d. substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFE²¹;
- e. the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f. the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g. the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution, or
- h. the Entity is a non-profit organisation.

²¹Passive Non-Financial Entity (PNFE)

A Passive NFE is any Non-Financial Entity²² that is not an Active NFE, or an Investment Entity²³ that is not a Participating Jurisdiction²⁴ Financial Institution²².

Non-Financial Entity (NFE)

The term “NFE” means any Entity that is not a Financial Institution¹⁷.

³Investment Entity

The term “Investment Entity” means any Entity:

- a. which primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer.
 - i. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - ii. individual and collective portfolio management; or
 - iii. otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- b) the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in subparagraph A(6)(a) of the EU Directive on Administrative Co-operation 2014/107/EU.

An Entity is treated as primarily conducting as a business one or more of the activities described in subparagraph A(6)(a), or an Entity’s gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of subparagraph A(6)(b), if the Entity’s gross income attributable to the relevant activities equals or exceeds 50 % of the Entity’s gross income during the shorter of:

- i. the three-year period ending on 31 December of the year preceding the year in which the determination is made; or
- ii. the period during which the Entity has been in existence.

The term “Investment Entity” does not include an Entity that is an Active NFE because that Entity meets any of the criteria in subparagraphs D(8)(d) through (g) of the EU Directive on Administrative Co-operation 2014/107/EU.

This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of “financial institution” in the Financial Action Task Force Recommendations.

²⁴Participating Jurisdiction

The term “Participating Jurisdiction” means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.