



**Unicorn Investment Funds  
Open-Ended Investment Company  
'A' Shares**

# **APPLICATION FORM**

Promoted by



# APPLICATION FORM FOR UNICORN OEICs, ISAs AND PEP TRANSFERS 'A' SHARES

Please return this form to Unicorn Asset Management Limited, 2 The Boulevard, City West One Park, Gelderd Road, Leeds LS12 6NT together with your cheque.  
If you have any queries while completing the form please call 0845 608 1465 between 9am and 5pm on a business day.

## 1 Personal Details

All Applicants must complete this section. Use Block Capitals

Title (Mr, Mrs, Ms, Other)

Surname

Forenames in full

Date of Birth

Permanent address

Postcode  Daytime Telephone

Email Address

Do you have a National Insurance Number?  Yes  No

If yes, you must enter it here

(You should be able to find your NI number on a payslip, from your P45 or P60, a letter from the Inland Revenue, letter from the DSS, or pension order book.)

## 2 Funds

COMPLETE THIS SECTION IF YOU ARE APPLYING OUTSIDE AN ISA

Please provide separate details of joint applicants, on a separate sheet of paper, replicating those in Personal Details above and ask them to sign.

	Lump Sum Investment Amount	Reinvest my income	Regular Investment amount per month
Unicorn Free Spirit Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn Mastertrust Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn UK Smaller Cos Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn UK Income Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
<b>Total</b> £	<input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month

The minimum lump sum investment is £2,500 (minimum of £1,000 per fund). The minimum monthly amount for regular investors is £100 per month (minimum of £100 per fund). Please enclose a cheque for your first installment and complete the Direct Debit Form overleaf (Section 9) for subsequent payments. Income will be automatically reinvested for regular savings.

If you have not ticked the 'Reinvest my income' box you must complete the Income Mandate section overleaf (section 6) so that the income can be paid directly into your Bank or Building Society Account.

I have read Unicorn Asset Management Limited's Simplified Prospectus Document and Terms and Conditions and agree to be bound by its terms and conditions and accept that they may be varied at the Account Managers' discretion. The application has been completed to the best of my knowledge but should circumstances change I will inform you immediately.

Your cheque should be made payable to Unicorn Asset Management Limited.

Separate applicant details attached

Signature  Day  Month  Year  (please tick)

## 3 MAXI ISA

COMPLETE THIS SECTION IF YOU ARE APPLYING FOR A MAXI ISA

I apply for the tax year  and each subsequent tax year until further notice

	Lump Sum Investment Amount	Reinvest my income	Regular Investment amount per month
Unicorn Free Spirit Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn Mastertrust Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn UK Smaller Cos Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
Unicorn UK Income Fund	£ <input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month
<b>Total</b> £	<input type="text"/>	Yes <input type="checkbox"/>	£ <input type="text"/> per month

Lump sums must be for £2,500 up to a maximum of £7,000 (minimum of £1,000 per fund).

The minimum monthly amount for regular investors is £100 per month and the maximum is £583.33 (minimum of £100 per fund). Please complete the Direct Debit form overleaf (Section 9) and enclose a cheque for your first monthly contribution. Income will be automatically reinvested together with any tax credits. If you have not ticked the 'Reinvest my income' box you must complete the Income Mandate section overleaf (section 6) so that the income can be paid directly into your Bank or Building Society Account. Please read and sign the ISA/PEP declaration overleaf (section 7).

#### 4 ISA Transfer Form

COMPLETE THIS FORM IF YOU WANT TO TRANSFER A STOCKS AND SHARES COMPONENT ISA TO UNICORN ASSET MANAGEMENT LIMITED.  
PLEASE ALSO SIGN THE ISA/PEP DECLARATION (SECTION 7)

Current Plan Details

Name of existing Manager

Address

Postcode

ISA Plan Reference Number(s)

Funds Transferred to	Unicorn Free Spirit Fund	Unicorn Mastertrust Fund	Unicorn Smaller Cos Fund	Unicorn UK Income Fund	Re-invest income Please tick box
£	<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="checkbox"/>

Other than in the current tax year when the whole ISA needs to be transferred, you can choose how much of your previous years plans you wish to transfer. You must transfer a minimum of £1,000. If you have not ticked the 'Re-invest income' box you must complete the Income Mandate section (Section 6) so that the income can be paid directly into your Bank or Building Society Account.

I confirm that I wish to transfer the ISA detailed above to Unicorn Asset Management Limited and request you to; (i) sell the investments to the value indicated in my ISA and accept Unicorn Asset Management Limited's instructions to transfer the cash held within my Plan(s); (ii) provide the information required under Inland Revenue Regulations, within the timescale stated in the Regulation, to Unicorn Asset Management Limited and; (iii) forward all outstanding dividends and tax credits, with full details to Unicorn Asset Management Limited.

Signature

Day   Month   Year

#### 5 PEP Transfer Form

COMPLETE THIS FORM IF YOU WANT TO TRANSFER YOUR PEP TO UNICORN ASSET MANAGEMENT LIMITED.  
PLEASE ALSO SIGN THE ISA/PEP DECLARATION (SECTION 7)

Current Plan Details

Name of existing Manager

Address

Postcode

PEP Plan Reference Number(s)

Funds Transferred to	Unicorn Free Spirit Fund	Unicorn Mastertrust Fund	Unicorn Smaller Cos Fund	Unicorn UK Income Fund	Re-invest income Please tick box
£	<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="checkbox"/>

If you have not ticked the 'Re-invest income' box you must complete the Income Mandate section (Section 6) so that the income can be paid directly into your Bank or Building Society Account.

I confirm that I wish to transfer the PEP detailed above to Unicorn Asset Management Limited and request you to; (i) sell the investments to the value indicated in my PEP and accept Unicorn Asset Management Limited's instructions to transfer the cash held within my Plan(s); (ii) provide the information required under Inland Revenue Regulations, within the timescale stated in the Regulation, to Unicorn Asset Management Limited and ; (iii) forward all outstanding dividends and tax credits, with full details to Unicorn Asset Management Limited.

Signature

Day   Month   Year

#### 6 Income Mandate

THIS SECTION MUST BE COMPLETED IF YOU WANT TO HAVE YOUR INCOME PAYMENTS PAID OUT TO YOU.  
(INCOME WILL BE AUTOMATICALLY RE-INVESTED IF THIS SECTION IS NOT COMPLETED.)

Income will be paid directly to your account by BACS

Name of bank/building society

Address

Postcode

Account Name  Account Number

Sort Code    Building Society Reference Number

## 7 ISA/PEP

**DECLARATION AND AUTHORISATION - THIS SECTION MUST BE COMPLETED BY ISA APPLICANTS AND ISA AND PEP TRANSFER APPLICANTS.**

I declare that (i) all subscriptions made, and to be made, belong to me; (ii) I am 18 years of age or over; (iii) I have not subscribed and will not subscribe to another ISA (other than a TESSA only ISA) in the same tax year that I subscribe to this Maxi ISA; and (iv) I am resident and ordinarily resident in the United Kingdom for tax purposes or if not so resident, perform duties which, by virtue of section 132(4)(a) of the Income and Corporation Taxes Act 1988 (Crown employees serving overseas), are treated as being performed in the United Kingdom or am married to a person who performs such duties, and will inform Unicorn Asset Management Limited if I cease to be so resident or ordinarily resident or to perform such duties or to remain married to a person who performs such duties.

I authorise Unicorn Asset Management Limited (i) to hold my cash subscription, ISA/PEP investments, interest, dividends and any other rights or proceeds in respect of those investments; (ii) to make on my behalf any claims to relief from tax in respect of ISA/PEP investments; (iii) on my written request to transfer or pay me, as the case may be, ISA/PEP investments, interest, dividends, rights or other proceeds in respect of such investment or any cash.

I have read Unicorn Asset Management Limited's Simplified Prospectus Document and Terms and Conditions and agree to be bound by its terms and conditions and accept that they may be varied at the Account Managers' discretion. The application has been completed to the best of my knowledge but should circumstances change I will inform you immediately.

Your cheque should be made payable to Unicorn Asset Management Limited.

Signature

Day  Month  Year

## 8 Agents Details

**TO BE COMPLETED BY THE INTRODUCING AGENT**

Agents Stamp

Name of Consultant

SRO Number

IFA Special Instructions

## 9 Direct Debit Form ONLY COMPLETE THIS SECTION IF YOU WISH TO INVEST BY DIRECT DEBIT

Your Direct Debit will be collected on or around the 1st of each month.

Please note: we require 10 working days between our receipt of the Direct Debit form and the first collection.

### INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBITS.

Unicorn Asset Management Limited, 2 The Boulevard, City West One Park, Gelderd Road, Leeds LS12 6NT



Originators ID Number: 880103

To the Manager  Bank/Building Society

Address

Postcode

Name(s) of Account holders

Account Number

Branch Sort Code

Signature

Day  Month  Year

2nd signature (if applicable)

Day  Month  Year

Reference Number (To be completed by Unicorn)

**Instruction to your bank or building society:**  
Please pay Unicorn Asset Management Limited Direct Debits from the account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Unicorn Asset Management Limited and if so, details will be passed electronically to my bank/building society.

You should be aware that Banks and Building Societies may not accept Direct Debit instructions for some types of account.

### Direct Debit Guarantee THIS GUARANTEE SHOULD BE DETACHED AND RETAINED BY THE PAYER



This Guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society. If the amounts to be paid or the payment dates change, Unicorn Asset Management Limited will notify you ten working days in advance of your account being debited or as otherwise agreed.

If an error is made by Unicorn Asset Management Limited or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.

You can cancel a Direct Debit any time by writing to your Bank or Building Society. Please also send a copy of your letter to us.

For all dealing and administration queries contact:

Unicorn Asset Management Limited  
Administration and Registration Office  
Client Service Centre  
2 The Boulevard, City West One Park  
Gelderd Road, Leeds LS12 6NT  
T : +44 (0)845 608 1465  
F : +44 (0)113 224 6002

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The Charterhouse  
Charterhouse Square  
London EC1M 6AU  
T : +44 (0)20 7253 0889  
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E : [info@unicornam.com](mailto:info@unicornam.com)  
[www.unicornam.com](http://www.unicornam.com)

Unicorn Asset Management Limited is authorised  
and regulated by the Financial Services Authority

