Janus Henderson
INVESTORS

ISA TRANSFER FORM

Valid from 31 July 2023

You should use this form if you wish to invest in the Janus Henderson Fund Management UK Limited's range within an Individual Savings Account ("ISA") by transferring your ISA from your existing ISA manager(s). Further information is contained in the Prospectus, the Key Investor Information Document ("KIID") and Additional Information Document ("AIID") which includes the ISA Terms and Conditions. Please complete this form in **BLOCK CAPITALS** and return it to **Janus Henderson Investors, PO Box 9023, Chelmsford CM99 2WB**.

SECTION 1 – About yourself

Title	Email
Surname	Occupation (private individuals)
First name(s)	Nationality (private individuals)
Permanent residential address*	Date of birth** D D M M Y Y Y Y
	National Insurance number**
	If you do not have a national insurance number please tick this box** ☐
Postcode	If you or your spouse/civil partner are an employee of the Crown please tick this box** ☐
Daytime Tel No.	
Evening Tel No.	Account number (for existing account holders)

*We are unable to accept a c/o or PO Box address.

**We are required by HM Revenue & Customs to obtain these details. You should be able to find your National Insurance Number on a payslip, form 45 or P60, or a letter from HM Revenue & Customs or the Department of Work and Pensions. If you are unable to provide this information, it may delay the processing of your application form. If we do not receive all information necessary to complete your application within 30 days of originally receiving it, your investment may be made in the fund(s), but the ISA tax benefits may not apply. Please contact us at the address shown at the top of this form, or on 0800 392 392 if you are uncertain how to proceed.

☐ Stocks and shares ISA transfer ☐ Cash ISA transfer

Stocks and shares ISA details – please complete Form 1 in section 6.

Name of ISA Manager

Previous years' stocks & shares ISAs may now include investments originally made as PEPs. Please check with your current ISA manager if you are unsure.

Cash ISA details – please complete Form 2 in section 6.

Name of ISA Manager

Janus Henderson Investors does not offer a cash ISA for new investments in the Janus Henderson Fund Management UK Limited range. All cash ISAs will be transferred into the Janus Henderson stocks and shares ISA.

Advisor Details

To be completed by your Financial Advisor if appropriate. By placing your details here and/or by placing business with us, you confirm that you have received, read and are bound by our Intermediary Terms of Business, available at www.janushenderson.com/advisers.

Agency Ref:

☐ Advice not given by your Financial Advisor to the customer.

Discount %: Commission Payable %:

☐ Advice given by your Financial Advisor to the customer.

(where **neither** box has been ticked, we will apply your default status ("advised" or "execution only") to this transaction)

SECTION 2 – Investment Selection

Please select the fund(s) and the share/unit class you wish to invest in using our **investment options form** and write the fund details and the percentage of your current ISA that you wish to transfer into each fund in the appropriate box. Further information on the funds and share/unit classes can also be found within each fund's Prospectus and Key Investor Information Documents ("KIIDs").

Fund name	Share/Unit class	% of Transfer
Example: All Stocks Credit Fund	*A Acc*	*100%*

SECTION 3 – Investor payment instructions

Income

Pay to the bank details stated below ☐ Reinvest ☐

If no selection is made, we will reinvest income to purchase additional shares/units

Redemptions

We will pay all future redemption proceeds to the following bank account/building society details until such time you instruct otherwise.

Bank/Building Society name	Account name*
Bank/Building Society address	Bank/Building Society account number
	Branch sort code
	Building Society roll number
Postcode	(if applicable)

*Please note we do not make payments to third parties, only to the named account holder.

SECTION 4 – Declaration and authority

I declare that all subscriptions made and to be made belong to me and that I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, a lifetime ISA, and innovative finance ISA in the same tax year. I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA. I further declare that I am 18 years of age or over and I am resident in the UK, or perform duties which, by virtue of section 28 of the Income Tax Earnings & Pensions Act 2003 (Crown employees serving overseas) are treated as being performed in the UK or I am married to or in a civil partnership with a person who performs such duties. I will inform Janus Henderson Fund Management UK Limited if I cease to be so resident or to perform such duties or be married to or in a civil partnership with, a person who performs such duties.

I hereby authorise Janus Henderson Fund Management UK Limited to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; to make on my behalf any claims to relief from tax in respect of ISA investments and on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investment or any cash.

The information on this completed application form is correct to the best of my knowledge and belief. I have read and agree to be bound by the Prospectus, including those parts that explain the basis on which Janus Henderson Fund Management UK Limited will provide certain services to me. I have received and read an up-to-date version of the KIID. The Prospectus, Key Investor Information Document ("KIID"), and Additional Investor Information Document ("AIID"), as well as the ISA Terms and Conditions and Individual Savings Account Regulations 1998, will constitute a written agreement between me and Janus Henderson Fund Management UK Limited, may be updated and/or amended from time to time in accordance with their terms, and can be found in the Documents section of our website www.janushenderson.com. I consent to being provided with the KIIDs in this form via the website and not addressed to me/us personally. I understand that this transfer is subject to acceptance by Janus Henderson Fund Management UK Limited.

I accept that under United Kingdom legislation and regulations concerning the prevention of money laundering and terrorist financing, all investors must be identified and I may be required to provide additional information to verify my identity.

I confirm that I cannot be classified as a US person (as defined in the Prospectus).

I acknowledge that US persons cannot hold shares or units in any of the funds listed.

I hereby authorise Janus Henderson Fund Management UK Limited as Plan Manager to manage this ISA.

I have received and read an up-to-date version of the KIID.

I acknowledge that the KIID can be obtained from within the Documents section of the website at www.janushenderson.com and I consent to being provided with the KIIDs in this form via the website and not addressed to me personally.

I acknowledge that I have been notified of the address of the website and the place on the website where the KIID may be accessed.

I further confirm that the medium of a website is appropriate in the context of the business between me and Janus Henderson Fund Management UK Limited.

Please contact us using the details on the next page if you require assistance.

Signature	Date

Data Protection and Consent to Marketing

Your personal information is governed by applicable data protection laws including but not limited to the General Data Protection Regulation (EU) 2016/679 (GDPR) and Janus Henderson's Privacy Policy. The Privacy Policy details our collection, use and processing of your personal data (including the data you provide in this form) and sets out your rights. A copy of the document is available under the Privacy Policy section of our website at www.janushenderson.com and in hard copy by sending a request to privacy@janushenderson.com.

We would like to send you updates about our expert insights, events and webcasts and information about our products and services. For these purposes, your details may be shared with companies within the Janus Henderson Group. We will always treat your details in accordance with our Privacy Policy and you will be able to unsubscribe at any time. **If you consent to receive such updates and information, please tick this box.** ☐

SECTION 5 – Important Information

Income paid for lump-sum investors only – If you want to receive income please complete Section 3 with details of the bank/building society account into which you want payments to be made. Alternatively, where applicable, income will be automatically reinvested for you.

Redemption payments – Redemption payments are sent by cheque unless you complete Section 3.

Cancellation Rights – If you apply directly to us, you will not have the right to cancel your investment. If you apply via an authorised financial adviser, you will receive a cancellation notice which gives you 14 days to change your mind. However, if the value of your investment has fallen between the time of issuing your shares or units and us receiving your cancellation notice, we may deduct the amount by which it has fallen from your payment before returning your money to you.

Application Checklist

IMPORTANT – Please read the following as incomplete applications may have to be returned. Please note we cannot accept c/o or PO Box addresses.

1. Have you indicated the type of transfer requested – stocks and shares ISA and/or cash ISA? ☐
2. Have you completed in full the 'About yourself' information in section 1? ☐
3. Have you supplied your date of birth and National Insurance Number (or ticked the box if you do not have a National Insurance Number)? ☐
4. Have you completed in full the appropriate stocks and shares ISA transfer (Form 1) and/or cash ISA transfer (Form 2) section? ☐
5. Have you stated the fund(s) you wish to invest and the % amount per fund? ☐
6. Have you signed and dated the form in the spaces provided? ☐
7. If you want income paid out to you, have you completed the Income and Redemption Payments section and provided verification of the bank account? If you do not complete this, your income, where applicable, will automatically be reinvested to purchase further shares/units in the fund(s). ☐

Please do not use staples.

Please return your completed ISA transfer form to **Janus Henderson Investors, PO Box 9023, Chelmsford CM99 2WB.**

If you have any questions relating to your application, please call our Investor Services team on **0800 832 832.**

SECTION 6 – Transfer details

Form 1 – Stocks and shares ISA to be transferred – the minimum lump-sum is £1,000 per fund.

Personal details	
Title	First name(s)
Surname	

ISA details	
Name of ISA Manager	Address
Account/ref no(s) of ISAs to be transferred	
	Postcode

Stocks and shares ISA Subscriptions to be transferred:

Current year stocks and shares ISA: (note current year subscriptions must be transferred as a whole).

Please transfer my current years subscriptions. Yes ☐ No ☐

Previous years: (part transfers are accepted provided your existing account manager can accommodate this request). **Please check with your account manager before completing this form**.

Please transfer my previous years subscriptions. Yes ☐ No ☐

: **OR** please transfer _____ % or £ _____ of my total stocks and shares ISA holding currently held by you.

Previous years' stocks and shares ISA may now include investments originally made as PEPs. Please check with current ISA Manager if you are unsure.

Instruction: I hereby instruct my current ISA manager to transfer the above stocks and shares ISA(s) in cash to Janus Henderson Fund Management UK Limited. I also authorise you to provide Janus Henderson Investors, with any information concerning the above stocks and shares ISA(s) and to accept from them any instruction relating to the stocks and shares ISA(s). This is subject to Janus Henderson Investor's acceptance of my transfer application.

Signature	Date

Form 2 – Cash ISA to be transferred – the minimum lump-sum is £1,000 per fund.

Personal details	
Title	First name(s)
Surname	

ISA details	
Name of ISA Manager	Address
Account/ref no(s) of ISAs to be transferred	
	Postcode

Cash ISA Subscriptions to be transferred:

Current year cash ISA: (note current year subscriptions must be transferred as a whole).

Please transfer my current years subscriptions. Yes ☐ No ☐

Previous years: (part transfers are accepted provided your existing account manager can accommodate this request).

Please check with your account manager before completing this form. Please transfer my previous years' subscriptions. Yes ☐ No ☐

: **OR** please transfer _____ % or £ _____ of my total cash ISA holding currently held by you.

Janus Henderson Investors does not offer a cash ISA for new investments. All cash ISAs will be transferred into the Janus Henderson stocks and shares ISA.

Instruction: I hereby instruct my current ISA manager to transfer the above cash ISA(s) in cash to Janus Henderson Fund Management UK Limited. I also authorise you to provide Janus Henderson Investors, with any information concerning the above cash ISA(s) and to accept from them any instruction relating to the cash ISA(s). This is subject to Janus Henderson Investor's acceptance of my transfer application.

Signature	Date

Janus Henderson
INVESTORS

We may record telephone calls for our mutual protection, to improve customer service and for regulatory record keeping purposes.

Issued by Janus Henderson Investors. Janus Henderson Investors is the name under which investment products and services are provided by Janus Henderson Investors International Limited (reg no. 3594615), Janus Henderson Investors UK Limited (reg. no. 906355), Janus Henderson Fund Management UK Limited (reg. no. 2678531), Henderson Equity Partners Limited (reg. no.2606646), (each registered in England and Wales at 201 Bishopsgate, London EC2M 3AE and regulated by the Financial Conduct Authority) and Janus Henderson Investors Europe S.A. (reg no. B22848 at 2 Rue de Bitbourg, L-1273, Luxembourg and regulated by the Commission de Surveillance du Secteur Financier).

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