

Please complete this form in ink using BLOCK CAPITALS. Return the completed application form to: **New Star Investment Funds**, PO Box 9023, Chelmsford CM99 2WB. New Star Investment Funds Limited is authorised and regulated by the Financial Services Authority. If you are unsure about the suitability of this investment, please consult your financial adviser.



New Star fund of funds range application form for direct investment (Portfolio Investment OEIC and Unit Trust)

Personal details – all investors

| | |
|---|---------|
| Permanent residential address in full | |
| | |
| | |
| Postcode | E-mail# |
| Tel No: Business | Home |
| Account designation* (if applicable) | |
| Registered name (if not an individual, e.g. company name) | |
| | |
| Existing account number (if applicable) | |

Please only provide your e-mail address if you would like to receive marketing communications from the New Star Marketing Group.

* Accounts for minors (children under 18 years of age) must be registered in the name of an adult (or adults) and designated in favour of the minor using their initials.

| Title | Surname | Forename(s) in full | Date of birth |
|-------|---------|---------------------|---------------|
| 1. | | | |
| 2.† | | | |

† If the address of the joint holders is different to that of the first holder or there are more than two holders (up to a maximum of four), then we need to be advised on a separate sheet to be sent with this application form.

Investments cannot be registered in the name of any trust or executorship but must be registered in the names of the individual trustees detailed above.

Please also indicate the name of the trust/estate here:

Beneficial Ownership

This section must be completed – please refer to the beneficial ownership section within the Simplified Prospectus for more detail

Are you the beneficial owner of this investment? Yes No

(if you answer “no” you are required to provide the full details of the beneficial owner(s) in the box below).

| 1. First Account Holder/Name | Signature | Date |
|-------------------------------|-----------|------|
| | | |
| 2. Second Account Holder/Name | Signature | Date |
| | | |
| 3. Third Account Holder/Name | Signature | Date |
| | | |
| 4. Fourth Account Holder/Name | Signature | Date |
| | | |

Investment details

The minimum lump-sum investment is £1,000 per fund. The minimum amount for monthly savings is £100 per month (minimum £50 per fund).

| Name of New Star fund of funds | Lump-sum amount | Regular savings monthly amount†† |
|--|-----------------|----------------------------------|
| New Star Portfolio Investment OEIC | | |
| New Star Active Portfolio | £ | £ |
| New Star American Portfolio | £ | £ |
| New Star Asia Portfolio | £ | £ |
| New Star Balanced Portfolio | £ | £ |
| New Star European Portfolio | £ | £ |
| New Star Managed Portfolio (income shares) | £ | |
| New Star Managed Portfolio (accumulation shares) | £ | £ |
| New Star Tactical Portfolio | £ | £ |
| Unit Trust | | |
| New Star Cautious Portfolio | £ | £ |
| Total | £ | £ |

†† **Regular savers:** Please indicate the date you wish collections to be made

1st of month 15th of month If not specified, we will collect on 1st of each month.

Agent's stamp

To be completed by the agent if appropriate. 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 terms of business.

Agency ref:

Discount %:

Commission payable %:

Advice not given

(Where this box has not been ticked, it will be assumed that advice has been given.)

Media code:

Important information

Monthly savings – If making monthly savings, you must fill in the direct debit form and return it with this application form. Money laundering regulations oblige us to request that your first monthly investment is by a personal cheque drawn on the same account as your direct debit. **Lump-sum and monthly savings** – Lump-sum payments can be made in addition to monthly direct debits.

Income option (lump-sum investors in the Managed Portfolio income shares only) **and monthly withdrawal facility** – If you wish to receive any income or have chosen to use the monthly withdrawal facility, please complete the direct credit slip opposite with details of the bank/building society account into which you wish payments to be made.

Corporate application – If you are investing on behalf of a company, please be aware that we will require two authorised signatures and a company stamp to proceed with your application.

If you wish to use the monthly withdrawal facility you should indicate above from which fund(s) the withdrawals should be taken and the amount per month or percentage per annum. You should also complete the direct credit slip opposite. The withdrawal amount will be paid monthly into your bank/building society account on the 15th of each month (minimum £25 per month and maximum of 7.5% p.a. of total investment).

Monthly withdrawal facility

| Amount per month | | % per annum | |
|------------------|----|-------------|------------------------------|
| £ | or | % | (% of total fund investment) |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |
| £ | or | % | |

Declaration and authorisation

● I/we confirm that I/we have read and understood and agree to be bound by the **Simplified Prospectus**, including those parts which explain the basis on which New Star Investment Funds Limited will provide certain services to me/us. The Simplified Prospectus will constitute a written agreement between me/us and New Star Investment Funds Limited for that purpose. ● I/we declare that this application form has been completed to the best of **my/our** knowledge and belief. ● I/we enclose a cheque made payable to New Star Investment Funds Limited for the lump-sum amount to be invested and/or for the first monthly payment and confirm that all these monies are **my/our** own. ● I/we understand that you may require additional information from me/us in accordance with the money laundering regulations and acknowledge that electronic data sources may be used to check my identity under the money laundering regulations. ● I/we confirm that I/we have been offered and may request a copy of the Prospectus and the latest annual & interim report and accounts/managers report. ● I/we have received a printed copy of the Simplified Prospectus and terms and conditions that relate to my/our chosen investment. ● If I/we have downloaded this application form, I/we acknowledge that the Simplified Prospectus and terms and conditions were also enclosed and I/we have printed a hard copy. ● I/we understand that the Simplified Prospectus and terms and conditions should be retained for my/our future reference.

Signature

1. X

2. X

Date

X

X

We will hold any personal information provided to us in confidence and in accordance with data protection law. We and other New Star group companies may use your data and/or share your data with others identified in, and for the purposes described in, the Simplified Prospectus under the heading 'Personal Data'. Please tick this box if you do not wish to receive marketing communications from the New Star Marketing Group by mail or telephone.

Issued by New Star Investment Funds Limited, incorporated and registered in England and Wales with registered office at 201 Bishopsgate, London, EC2M 3AE (reg no. 4033107) which is authorised and regulated by the Financial Services Authority to provide investment products and services. New Star Investment Funds Limited is a wholly owned subsidiary of Henderson Group Plc (incorporated and registered in Jersey under number 101484 with its registered office at 47 Esplanade, St Helier, Jersey JE1 0BD). Telephone calls may be recorded and monitored.

Please do not detach – for office use. Please do not detach – for office use. Please do not detach – for office use. Please do not detach – for office use.

Direct credit slip

Do not complete unless you are a lump-sum investor in the Managed Portfolio (income shares) and wish any income to be paid out on your investments or you have chosen to use the monthly withdrawal facility.

Name and full address of your bank or building society

| |
|--------------|
| Name |
| Address |
| |
| Postcode |
| |
| Account name |
| |

Please do not detach – for office use. Please do not detach – for office use. Please do not detach – for office use. Please do not detach – for office use.

Direct debit form

New Star Investment Funds Limited

Simply fill in the whole form and return it to:

New Star Investment Funds, PO Box 9023, Chelmsford CM99 2WB.

Name and full address of your bank or building society

| |
|------------------------------|
| To: The Manager |
| Address |
| |
| Postcode |
| |
| Name(s) of account holder(s) |
| |

Bank/building society account no

Branch sort code

Application checklist

IMPORTANT – Please read the following since incomplete applications may have to be returned.

1. Have you completed in full the 'Personal details' section?
2. If there is more than one holder, have their personal details been supplied on a separate sheet?
3. Have you stated against each of the fund(s) you wish to invest in the amount you wish to invest per fund?
4. Have all holders signed and dated the application form in the places marked with an X or on a separate sheet?
5. If you wish to make monthly savings, have you completed the direct debit form and indicated the date you wish collections to be made? Please ensure a cheque is enclosed for your first monthly collection.
6. If you are a lump-sum investor (income shares/units) and would like income paid out to you or have chosen to use the monthly withdrawal facility, have you completed the direct credit slip? If you do not complete the direct credit slip your income will automatically be reinvested to purchase further units/shares in the fund. Income is automatically reinvested if you are investing via regular savings.
7. Have you enclosed your cheque(s) made payable to **New Star Investment Funds Limited**?

Please do not use staples. **Please return your application form and cheque(s) to New Star Investment Funds, PO Box 9023, Chelmsford CM99 2WB.** If you have any questions regarding the completion of this form please contact your financial adviser or our customer services team on **0845 608 8704**.

For lump-sum investors in the fund stated below, you may opt to have income paid directly into your bank or building society account. Alternatively, income will be automatically reinvested for you. Simply complete the slip in full and return it to:

New Star Investment Funds, PO Box 9023, Chelmsford CM99 2WB.

For the **Managed Portfolio** income shares only: income paid 31 May.

| | |
|--|--|
| Bank/building society account number | |
| Branch sort code | |
| Building society roll number (if applicable) | |

Instruction to bank/building society to pay direct debits

Originator's Identification Number

6 5 5 2 7 4



Reference Number (for official use only)

| |
|--|
| |
|--|

Please pay New Star Investment Funds direct debits from my account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with New Star Investment Funds, and, if so, details will be passed electronically to my bank/building society.

| Signature(s) | Date |
|--------------|------|
| | |

Note: Banks and building societies may not accept direct debit instructions for some types of account. Please note: 14 days are required by your bank to set up direct debits.