Henderson Gartmore Fund

Société d'Investissement à Capital Variable (SICAV)

Application Form

KIID

Valid from 15 April 2013

This Application Form is for person(s) wishing to make investments ("Investor(s)") into the Funds of Henderson Gartmore Fund. Capitalised terms used in this Application Form but not defined herein will have the same meaning as in the Prospectus and Key Investor Information Document "KIID". **Please ensure that you have read the Prospectus for Henderson Gartmore Fund (as amended from time to time) prior to completing this Application Form. Investors are required to have read the latest version of the relevant KIID prior to placing a trade. These documents are available from www.henderson.com**

Please ensure that you complete the Application Form using **BLOCK CAPITALS**.

Please send your completed Application Form by post to: **Henderson Gartmore Fund, c/o RBC Investor Services Bank, 14, rue Porte de France, L-4360 Esch-sur-Alzette, Grand Duchy of Luxembourg** or by fax to: **+352 2460 9500 (Tel No: +352 2605 9601). If faxed, please also send the original to the address provided.**

SECTION 1 – Registration details

Private Investors

An application can be made in more than one name (to a maximum of four) ("Joint Account"). If applying in two names or more, please attach full details of all Joint Investors on a separate sheet.

Please tick one of the boxes below to specify whether either Investor is able to sign or both/all Investors are required to sign.

Joint Account: either Investor able to sign ☐ Joint Account: both/all Investors required to sign ☐

(PO Box and c/o addresses will not be accepted)

Mr/Mrs/Ms/Miss _____ Surname _____ Full first name(s) _____

Occupation _____

Employer _____

Number and street _____

_____

City/town _____ Postcode _____

Country _____

Telephone _____ Email* _____

Tax identification number (if applicable) _____

Tax residence (where you file your tax declarations) _____

City of birth _____

Country of birth _____ Date of birth _____/_____/_____

If investor is under 18, name(s) of parent(s)/guardian(s)

1. _____

2. _____

In accordance with the European Union Savings Directive 2003/48 EC, Investors in Henderson Gartmore Fund funds with high cash balances, typically Bond and Money funds, are advised that withholding tax on the interest earned element of any in scope dividend or redemption will be applied unless information regarding these payments is provided to the Luxembourg Tax Authorities, who in turn will share the information with your local tax authorities.

Please tick the box opposite to consent to the provision of this information to the Luxembourg Tax Authorities ☐

To confirm that either parent/guardian may sign alone on behalf of the Investor, please tick the box opposite ☐

Corporate/Institutional Investors

Company name _____

Contact name _____

Number and street _____

_____

City/town _____ Postcode _____

Country _____

Telephone _____ Fax _____ Email* _____

Nature of business _____

* Henderson is increasingly communicating with investors via email. Therefore, we ask that you include your email address above. This would not be used for marketing purposes.

If this application does not relate in any way to business in the UK , please tick this box ☐

If this relates to business in the UK, you confirm that any payment made to you is permitted by applicable legal and regulatory requirements (including, without limitation, provisions implementing the Financial Conduct Authority's ("FCA") Retail Distribution Review). ☐

Please note that if you intend to place a mix of UK and non-UK business on this account, you are required to apply for two separate accounts - one to hold UK business only and the other to hold non-UK business. If this box is not ticked, or if it is in any way unclear at the time of the application whether account will be used for UK or non-UK business, no commission or rebate payment may be made in respect of this account and the account will be noted as such.

SECTION 2 – Investor payment instructions

Investor payment instruction to be used in case of redemption/dividend payment (mandatory)

Bank name _____

Street/No _____

Postcode _____

City _____

Country _____

BIC/SWIFT Code ☐☐☐☐☐☐☐☐☐☐☐

and/or National Bank Code (ex: BLZ, sort code...) _____

Account number (IBAN if existing)* _____

Account holder name** _____

Account currency _____

In case payment must be made through a **correspondent bank**, please provide the following information:

Bank name _____

Street/No _____

Postcode _____

City _____

Country _____

BIC/SWIFT Code ☐☐☐☐☐☐☐☐☐☐☐

and/or National Bank Code (ex: BLZ, sort code...) _____

Account number (IBAN if existing)* _____

Account holder name** _____

Account currency _____

* Please note that an IBAN must be provided if your account is in Euro.

** Please note that payments to, or for, the accounts of third parties are not accepted.

Dividends will be reinvested unless you tick the box provided confirming that dividend payments are to be made to the bank account as detailed above ☐

- Currency of dividend payment EUR ☐ USD ☐ GBP ☐ JPY ☐
- Unless otherwise requested dividends will be made in the base currency of the Share Class.
- Any investor may request that (and at their own expense) dividend proceeds be paid in currencies other that the designated currency of the relevant Share Class, as determined from time to time by the Principal Distributor.

SECTION 3 – Intermediary/Distributor information

The intermediary is the financial company through which the investor submits his Application Form, before sending to the registrar and transfer agent.

Intermediaries remain responsible for complying with applicable rules and regulations in relation to the recommendation of Henderson's investment products, including the provision of information as required by local rules and regulations.

Intermediaries who are selling UCITS funds must (as required under the Directive), provide, free of charge, the relevant up-to-date KIID to investors or potential investors in good time and prior to any investment being made.

SECTION 3 – Intermediary/Distributor information (continued)

1. General information on intermediary/distributor (mandatory if the investor submits his Application Form through an intermediary)

Intermediary/Distributor name _____

Intermediary/Distributor registered address (PO box and c/o addresses will not be accepted)

Street/No _____

Postcode _____ City _____ Country _____

Telephone number _____ Fax number _____

Regulation
Is the intermediary/distributor regulated? Yes ☐ No ☐

If "Yes" Name of the regulatory body _____

Regulator web site address of the page showing the name of the intermediary _____

If you are a UK based intermediary/distributor please confirm your FCA number _____

If this application does not relate in any way to business for a Retail Client in the UK, please tick this box ☐

If this relates to business for a Retail Client in the UK: please indicate whether this investment and all future investments for this account made pursuant to this application form are to be placed pursuant to advice given to that client, or on an execution-only basis:

Advised ☐ Execution-Only ☐

Please note that if you as intermediary intend to transact a mixture of advised and execution-only business for this investor, you are required to apply for two separate accounts for the investor – one to hold advised business only and the other to hold execution-only business.

If neither box is ticked, or if it is in any way unclear at the time of application if this business will be placed on an advised or execution-only basis, we will treat this investment as "advised", the account noted as such, and no commission will be payable in respect of it.

2. Declaration concerning Know Your Client/Anti-Money Laundering controls done by the intermediary/distributor (mandatory if investor submits his Application Form through an intermediary)

The intermediary confirms that, to the best of its knowledge and on a best efforts basis, it has the appropriate means and internal procedures to prevent and avoid the utilisation of the Henderson Gartmore Fund (The "Fund") for the purposes of money laundering (i.e. any activity involving the investment, concealment or conversion of the direct or indirect proceeds of criminal activities as listed in Luxembourg law) or terrorism financing, and to detect and intercept money laundering channels or chains.

- We substantiate, on the basis of probative official documents, the true identity of (a) all our clients, both regular and occasional, including investors into funds for which we act as intermediary/distributor and (b) where our clients are not acting on their own behalf, of economic beneficiaries (ie. beneficial owners) and authorised representatives of the clients hereinafter collectively referred to as the "Client");
- We retain register opening and Client identification documentation for a period of at least 5 years after the end of our relationship with the Client.
- Our procedures to prevent money laundering include the monitoring of Client transactions, including, but not limited to, the monitoring of the source and destination of funds, the review of the purpose and object of the transaction, and, with a risk-based approach, applying enhanced checking procedures to transactions which we identify as unusual in their size, conditions or nature.
- We are aware of the terms of the Prospectus of the relevant funds and we shall observe them. In particular we shall not allow the purchase or holding of shares of the Funds by persons not authorised to purchase or hold them under the provisions of the Prospectus.
- We shall not advertise for clients, solicit clients, or sell any of the funds for which you act as Transfer Agent, unless we may do so in compliance with the laws and regulation applicable in Luxembourg or in other country where such advertising, solicitation, offer or sale takes place.
- We are aware of the European Community watch list contained in regulations concerning identification and declaration of business relations with suspected terrorist groups, persons or entities, or country subject to embargo, and we have checked and will monitor that the Client does not appear on such watch list.

The intermediary/distributor commits to inform the registrar and transfer agent if the intermediary/distributor ceases to be regulated.

3. Signature section (mandatory if investor submits his Application Form through an intermediary/distributor)

Intermediary/distributor signature _____

Name _____

Intermediary Stamp

Date _____

SECTION 4 - Money Laundering Prevention

The preventive measures in force against money laundering in the Grand Duchy of Luxembourg require that the Investor should declare his identity to Henderson Gartmore Fund, or the identity of any beneficial owners of the Shares if different from the Investor. The law also requires that Henderson Gartmore Fund should establish all the necessary controls in order to determine the Investor's identity. It is for this reason that subscriptions, redemptions, exchanges and transfers will not be executed unless this Application Form is accompanied by certified copies of the appropriate documents to establish the identity of the beneficial owners of the Shares.

Private Investors

If an Intermediary or Distributor has completed section 3 of the Application Form, we will not normally require any additional evidence of the identity of the Investor(s). However, Henderson Gartmore Fund reserves the right to request additional information from the Investor(s) as described below. If you are making this application directly and not via an Intermediary/Distributor, you must provide proof of the Investor's or beneficial owner's identity (identity card or passport*) duly certified as true by an officer so authorised in the country of residence (eg. notary, police officer, ambassador, consul).

Please indicate below which one of the following documents accompanies this Application Form:

☐ Identity Card No _____

☐ Passport No _____

You are also required to provide documentation as confirmation of your residential address. Please indicate below which one of the following documents accompanies this Application Form:

☐ Original utility bill, such as electricity or telephone (not mobile). This must be recent *and show the name of the Investor(s) together with their residential address, as completed in Section 1 of this Application Form.

☐ Original bank statement or credit card bill, which must be recent * and show the name of the Investor(s) together with their residential address, as completed in Section 1 of this Application Form.

If applying in more than one name, please attach full details (total maximum of four) on a separate sheet. If completing the Application Form as parent(s)/guardian(s) of an Investor under the age of 18, please provide relevant documentation for both/all Investor(s) and parent(s)/guardian(s).

* within the last 3 months

Corporate/Institutional Investors

Corporate/Institutional Investors must include a certified copy of either the articles of association or an extract from the commercial register. Please indicate in the boxes opposite which document accompanies this Application Form.

Please note that in addition to these documents, further documentation may be requested by the Principal Distributor and/or Registrar and Transfer Agent to complete the account opening process.

☐ Certified copy of the article of association

☐ Certified copy of the extract from the commercial register

SECTION 5 – Source of funds

I/We confirm that the investments into Henderson Gartmore Fund:

a) (i) Are made on my/our own behalf, or

(ii) Are made in my/our name as a nominee

b) The funds made available to Henderson Gartmore Fund are not of criminal origin, and in particular do not constitute the proceeds of money laundering; and

c) Originate from the following source (tick appropriate box).

Savings ☐ Inheritance ☐ Sale of real estate ☐

Other (please describe) _____

SECTION 6 – Beneficial owner

Will you be the beneficial owner of this investment? The beneficial owner will hold the beneficial title to this investment (tick appropriate box).

Yes ☐ No ☐

If you have ticked "No", please fill in the beneficial owner's details in the boxes opposite and confirm your relationship to such person(s).

Full name of beneficial owner _____

Date of birth _____/_____/_____

Address _____

_____

Your relationship to the beneficial owner _____

If there is more than one beneficial owner, please confirm their details on a separate sheet and attach to the application form.

You (as the applicant) will hold the legal title to the shares and we will only accept instructions from you.

SECTION 7 – Declarations and signature of the investor (and joint applicants)

- I/We understand that this application is subject to the terms and conditions of Henderson Gartmore Fund as set out in the current Prospectus, KIID and appropriate country supplement.
- I/We acknowledge that I/we have been offered, free of charge, the latest Prospectus, KIID and accompanying financial reports and that I/we have retained a copy for my/our records.

3. Please tick the applicable box below to indicate how you will obtain the KIID for each investment

3.1 **For an investor investing through a distributor/intermediary** ☐

I/We acknowledge that the Prospectus and KIID can be obtained from the website www.henderson.com. The KIID can be accessed by logging on to the website, selecting my/our geographical region and investor type and then accessing the Literature Library.

I/We acknowledge that I/we have been notified of the address of the website and the place on the website where the information may be accessed.

I/We understand my/our intermediary will provide me/us with the latest version of each relevant KIID prior to any investment being made.

3.2 **For an investor not investing through a distributor/intermediary** ☐

I/We acknowledge that the Prospectus and KIID can be obtained from the website www.henderson.com. The KIID can be accessed by logging on to the website, selecting your geographical region and investor type and then accessing the Literature Library.

I/We acknowledge that I/we have been notified of the address of the website and the place on the website where the information may be accessed.

I/We consent to being provided with the KIIDs in this form via the website and not addressed to me/us personally.

I/We further confirm that the medium of a website is appropriate in the context of the business between me/us and Henderson Horizon Fund.

I/We confirm that, I/we will ensure that I/we have read the latest version of each relevant KIID prior to submitting every investment application.

3.3 **For an investor not investing though a distributor/intermediary and with no internet access** ☐

I/We acknowledge that the Prospectus and KIID can be obtained from the website www.henderson.com. The KIID can be accessed by logging on to the website, selecting your geographical region and investor type and then accessing the Literature Library.

I/We acknowledge that I/we have been notified of the address of the website and the place on the website where the information may be accessed.

I/We confirm that, I/we will contact the Registrar and Transfer Agent to request the latest version of each relevant KIID and I/we will ensure that I/we will read the latest version prior to submitting every investment application.

- I/We declare that I am/we are over 18 years of age, or that I/we am/are signing as parent(s)/guardian(s) of an Investor under the age of 18.
- I/We confirm that this application shall apply to any further Shares of the Henderson Gartmore Fund purchased, transferred or otherwise held registered individually/jointly in the name(s) of the undersigned.
- I/We declare that I am/we are not a US Person (as such term is defined in the Prospectus) and certify that the Shares applied for are not being acquired for the benefit of, directly or indirectly, any US Person nor in violation of any applicable law, and I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares to a US Person.
- I/We hereby agree to indemnify and hold harmless Henderson Gartmore Fund, the Distributor, the Registrar and Transfer Agent and the Administrator and their respective directors, officers and employees ("the Parties") against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to a Party. The Parties will not be responsible or liable for the authenticity of redemption instructions received from me/us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed to be genuine.
- I/We acknowledge that owing to anti-money laundering requirements operating within their respective jurisdictions Henderson Gartmore Fund, the Registrar and Transfer Agent and/or the Distributor (as the case may be) may require further identification from me/us, as described in the Prospectus, before the application can be processed and Henderson Gartmore Fund, the Registrar and Transfer Agent and/or the Distributor (as the case may be) shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been required by the parties referred to and has not been provided by me/us. I/We also warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- I/We acknowledge that telephone calls may be recorded.
- By completing and returning this Application form, I/ We consent to the use of Personal Data by the Company. The Company may disclose Personal Data to its agents, service providers or if required to do so by force of law or regulatory authority. I/We may access my/our Personal Data held by the Company by sending a written request to the Company. I/We may request in writing the rectification of, and the Company will upon written request rectify, Personal Data. All Personal Data shall not be held by the Company for longer than necessary for the purposes of data processing.
- I/We acknowledge that the Company may need to disclose Personal Data to entities located in jurisdictions outside the European Union which may not have an adequate level of data protection legislation and I/we consent to such transfer. The Company will comply with Luxembourg data protection legislation in respect of Personal Data.
- I/We confirm that the laws of the Grand Duchy of Luxembourg will apply to the establishment of relations between me/us and Henderson Gartmore Fund and that the establishment of such relations will be in English. I further acknowledge that the courts of the Grand Duchy of Luxembourg have jurisdiction in respect of any claim arising between me/us and Henderson Gartmore Fund.

Signature(s)

Place of signing _____

Name(s) in full _____

Date _____/_____/_____

Signature(s) of parent/guardian if investor is under 18

Place of signing _____

Name(s) in full _____

Date _____/_____/_____

Notes:

i Applications must be signed by each Investor. In the case of a partnership or firm, applications should be signed by all the partners or proprietors. A Corporation should affix its common seal or execute under the hand of a duly authorised person(s) who should state his representative capacity on a separate sheet. In the case of a Trust, application should be made in the individual names of the beneficiaries on a separate sheet and not the names of the Trustees. If this application is signed under power of attorney such power of attorney or a duly certified copy thereof must accompany this Application Form.

ii The Notice Légale which is required by Luxembourg law in connection with the issue and sale of shares has been filed with the Registrar of the District Court Luxembourg.

iii The right is reserved to ask investors for proof of identification.

iv The right is reserved to reject any application.

If you were not introduced by a Distributor, then Gartmore Investment Limited and other members of the Henderson Group plc would like to be able to tell you about other products and services that may be of interest to you. If you were not introduced by a Distributor and you do not wish to receive this information then please indicate below.

I understand that by ticking the box I will not receive information about the other services and products of the Henderson Group plc ☐

Henderson Global Investors is the name under which Henderson Global Investors Limited (reg. no. 906355), Henderson Fund Management plc (reg. no. 2607112), Henderson Investment Funds Limited (reg. no. 2678531), Henderson Investment Management Limited (reg. no. 1795354), Henderson Alternative Investment Advisor Limited (reg. no. 962757) and Henderson Equity Partners Limited (reg. no. 2606646) (each incorporated and registered in England and Wales with registered office at 201 Bishopsgate, London EC2M 3AE and authorised and regulated by the Financial Conduct Authority) provide investment products and services. Telephone calls may be recorded and monitored.