

**Fundsmith
Equity Fund**

Corporate and other Entity Application Form

Fundsmith Equity Fund

Corporate and other Entity Application Form

This form is for Corporate and other Entity Applications for the Fundsmith Equity Fund. Please ensure that all sections of the form relevant to you are completed in full.

- Please complete this form in ink using **BLOCK CAPITALS**.
- Please ensure you have arranged for payment.
- The Key Investor Information Document and the Supplementary Information Document contain important information about the Fundsmith Equity Fund and all investors should read these prior to completing this form. These documents are provided via our website at www.fundsmith.co.uk.
- If you are unsure about the suitability of this fund, please consult your financial adviser.
- Return the form to **Fundsmith LLP, ICS Department, PO Box 12381, Chelmsford, CM99 2ET**. If you wish to courier the form please send it to **Fundsmith LLP, Adams House, 2 Springfield Lyons Approach, Chelmsford, Essex, CM2 5LG**.
- If you need assistance completing this form, or if you have any other queries, please get in touch with us on 0330 123 3689/+44 203 975 1015 or FundsmithICS@uk.dstsyste.ms.com.

Organisation Details

Type of Organisation

Understanding the legal form of your organisation will assist in ensuring that appropriate information to open your account is provided at the earliest opportunity, helping to prevent delays in the completion of your application.

We may request further information from you if required to comply with our Anti-Money Laundering obligations.

Registered holders must have legal personality. If the applicant does not have legal personality, the account must be registered in the name of up to 4 appropriate individuals. The identity of these individuals will depend on the legal structure of the applicant. Here are some examples: (i) if the applicant is an unlimited partnership, the appropriate individuals will be the partners; (ii) if the applicant is a trust, the appropriate individuals will be the trustees; (iii) if the applicant is an unincorporated club/society, the appropriate individuals will be the officers/representatives.

UK Listed Public Company UK/EU/EEA Regulated Company Nominee (owned by Regulated Parent)	Please complete Part A - Section 1, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
Non UK/EU/EEA Regulated Company Non UK Listed Public Company	Please complete Part A - Section 2, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
Private Company (including Limited Liability Partnership) Incorporated Registered Charity Unlisted Public Company Nominee (owned by an Unregulated Parent)	Please complete Part A - Section 3, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
Registered Personal Pension Scheme Registered Occupational Pension Scheme Self-Invested Personal Pension (SIPP) Self-Administered Pension Scheme (SSAS)	Please complete Part A - Section 4, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
Other Trusts Unincorporated Registered Charity Unregistered Charity Independent School/College/University	Please complete Part A - Section 5, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
UK Churches and Place of Worship Club/Society Association Unincorporated Churches or other organisations Parochial Church Councils	Please complete Part A - Section 6, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification
Public Sector Bodies/Local Authority Public Sector Pension Scheme Sovereign Wealth Fund	Please complete Part A - Section 7, Investment Details, Declaration and Agent Details (if applicable) Part B - Beneficial Owners (If Applicable) Part C - FATCA/CRS Entity Certification

Additional section checklist

Completed

Part B – Beneficial Owners	If applicable, please complete this	
Part C – FATCA/CRS Certification	Either Entity and/or Individual self-certification form to be completed where applicable	
Appendix – Explanatory Notes	Notes on FATCA/CRS definitions and certification guidelines	

Part A – Organisation Details

Section 1: UK Listed, UK/EU/EEA Regulated and Nominee Companies *(Owned by a regulated or listed parent)*

A. About the organisation

Organisation name (the account will be registered in this name)

Account number (existing investors only)

Account designation (if applicable)

Registered address

Postcode

Country

Business or correspondence address (If different from above)

Postcode

Country

Contact Name

Email

Website

Telephone

- ☐ The applicant/organisation is investing its own funds
- ☐ The applicant/organisation is investing on behalf of another individual(s) or organisation/entities, e.g. by acting as a nominee, distributor or custodian

Please confirm the nature of the relationship if acting on behalf of another

Name of regulated parent company (If different to the name of the holder)

Regulatory authority and regulatory reference number

B. Beneficial owners and senior management

Listed companies or subsidiaries of listed companies.

If your company is a listed company or a majority-owned and consolidated subsidiary of a listed company you do not need to complete the beneficial owner section (Part B). If this applies, please provide the name of the exchange and security identifier/code for the listed company below:

Any other companies

If your organisation is any other type of company (i.e. not a listed company or a subsidiary of a listed company), please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the company (if applicable)
- ☐ Board of Directors or equivalent

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ Completed Wolfsberg questionnaire
- ☐ Completed beneficial owners and senior management details (Part B, if applicable)
- ☐ Regulated parent comfort letter/letter of assurance (non-regulated nominees only)
- ☐ Authorised signatory list
- ☐ Group structure chart (if applicable) and percentage ownership

Part A – Organisation Details

Section 2: Non UK/EU/EEA Regulated Company and Non UK Listed Public Company

A. About the organisation

Organisation name (the account will be registered in this name)	
Account number (existing investors only)	
Account designation (if applicable)	
Registered address	
Postcode	Country
Business or correspondence address (If different from above)	
Postcode	Country
Contact Name	Email
Website	Telephone
Regulatory authority and regulatory reference number	Company registration number

B. Beneficial owners and senior management

Listed companies or subsidiaries of listed companies e.g. London Stock Exchange.

If your company is a listed company or a majority-owned and consolidated subsidiary of a listed company you do not need to complete the beneficial owner section (Part B). If this applies, please provide the name of the exchange and security identifier/code for the listed company below:

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Any other companies

If your organisation is any other type of company (i.e. not a listed company or a subsidiary of a listed company), please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the company (if applicable)
- ☐ Board of Directors or equivalent

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

If the applicant or the parent company of a nominee company is not regulated in the UK, EU or EEA, please provide the following additional information.

- ☐ Proof of regulatory status
- ☐ Certificate of incorporation or equivalent
- ☐ Constitutional document, e.g. memorandum and articles of association, byelaws, articles of incorporation or equivalent

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ Completed Wolfsberg questionnaire
- ☐ Authorised signatory list
- ☐ Completed beneficial owners and senior management details (Part B, if applicable)
- ☐ Regulated parent comfort letter/letter of assurance (non-regulated nominees only)
- ☐ Group structure chart (if applicable) and percentage ownership within the group

Section 3: Private Companies *(including limited liability partnerships, unlisted public companies and incorporated charities)*

A. About the organisation

Organisation name (the account will be registered in this name)	
Account number (existing investors only)	
Account designation (if applicable)	
Registered address	
Postcode	Country
Business or correspondence address (If different from above)	
Postcode	Country
Contact Name	Email
Website	Telephone
Company registration number	
Please describe the nature and industry of your business	

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the information has been provided:

- ☐ Individuals holding 25% or more of the share capital or voting rights (directly or indirectly, e.g. via a holding company)
- ☐ Any other people exercising control over the company (if applicable)
- ☐ Board of Directors and senior persons responsible for the organisation's operations or equivalent
- ☐ The signatories to this application form (if not already listed)
- ☐ Trustees (charities only)
- ☐ For a Corporate Trustee, the Board of Directors

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ Certificate of incorporation or equivalent document
- ☐ Constitutional document, e.g. memorandum and articles of association, partnership agreement, byelaws or equivalent.
- ☐ Completed beneficial owners and senior management details (Part B)
- ☐ Authorised signatory list
- ☐ Group organisation structure chart (if the organisation is a subsidiary of another company)

If your organisation has charitable aims please provide the following information:

Charity registration number
Description of aims and activities
Countries of operation

Section 4: Registered pension schemes

A. About the organisation

Name of Pension Scheme **AEROPA LTD SSAS**Account number (existing investors only) **N/A.**Account designation (if applicable) **SMALL SELF ADMINISTERED SCHEME**

Please select the type of pension you are investing for:

- ☐ Self Invested Personal Pension (SIPP)
- ☒ Small Self Administered Scheme (SSAS)
- ☐ Occupational Pension Scheme
- ☐ Personal Pension Scheme
- ☐ Other (Please describe)

Registered address

7 DOONVIEW GARDENS, AYR,Postcode **KA7 4HZ.**Country **SCOTLAND. UK.**

Business or correspondence address (if different from above)

**RETIREMENT CAPITAL, OFFICE 12, VENTURE WALES BUILDING,
PEN TREBACH, MERTHR TYDFIL.**Postcode **CF48 4DR**Country **WALES. UK.**Contact Name **ESTHER SALMON**Email **esther@retirement.capital.**Website **www.retirement.capital**Telephone Number **0330 311 0088.**

Please provide your Pension Scheme Tax Reference (PSTR) number. If investing on behalf of an occupational pension scheme, please confirm the name of the employer or company which the scheme is linked to:

20000293 RJ.

Please confirm if the following statements apply to your scheme

- ☐ Contributions are made by an employer or by deduction from an employee's wages
- ☐ The scheme rules do not permit the assignment of a member's interest under the scheme

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm

- ☒ Trustees or equivalent (including corporate trustees) (Part B)
- ☒ Scheme beneficiaries
- ☐ Board of Directors or equivalent

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☒ Letter proving HMRC or pensions regulator scheme approval, for example an HMRC approval letter, scheme submission receipt or scheme certificate
- ☒ Details of individual trustees or trust company in whose name the account will be registered
- ☒ Authorised signatory list
- ☐ Completed beneficial owners and senior management details (Part B)
- ☐ Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)

Section 5: Other Trusts, Unincorporated Registered Charity, Unregistered Charities and Independent School/College/University
A. About the organisation

Primary Trustee Name

Second Trustee Name

Third Trustee Name

Fourth Trustee Name

Name of Trust/Charity

Account number (existing investors only)

Account designation (if applicable)

Registered address

Postcode

Country

Business or correspondence address (If different from above)

Postcode

Country

Contact Name

Email

Website

Telephone

If your organisation has charitable aims please provide the following information:

Charity registration references (if applicable)

Description of aims and activities

Countries of operation

If not, please complete the below:

The type of trust (will trust, discretionary trust, etc.)

The nature and purpose of the trust

Country of establishment

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm.

☐ Trustees or equivalent (including corporate trustees)

☐ Beneficiaries (including a class of beneficiary)

For Trusts only:

☐ Protector(s) or any other individuals who have control over the trust

☐ Settlor(s)

If a corporate trustee has been appointed, please also include:

☐ Individuals holding 25% or more of the corporate trustee's share capital or voting rights (directly or indirectly, e.g. via a holding company)

☐ Any other people exercising control over the corporate trustee (if applicable)

Section 5: Continued

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ The organisation's constitutional document (e.g. extract of the trust deed)
- ☐ Details of individual trustees and/or trust company in whose name the account will be registered
- ☐ Deeds of appointment and retirement of subsequent trustees (if applicable)
- ☐ Authorised signatory list (applicable to trust companies only)
- ☐ Completed beneficial owners and senior management details (Part B)
- ☐ Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)

Section 6: Partnerships, Clubs/Societies, Associations, Unincorporated Churches or other organisations
A. About the organisation

 Organisation name

 Account number (existing investors only)

 Account designation (if applicable)

 Registered address

 Postcode

 Country

 Business or correspondence address (If different from above)

 Postcode

 Country

 Contact Name

 Email

 Website

 Telephone

 Provide details of the type and purpose of the organisation:

 Legal status if you are a club

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm.

- ☐ Partners, directors, committee members or equivalent
☐ Any other person who exercises ultimate control over the management of the organisation

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ Partnership agreement or constitutional document
☐ Details of individual directors, partners, members, trustees etc. in whose name(s) the account will be registered
☐ Completed beneficial owners and senior management details (Part B)
☐ HMRC confirmation of charitable status if you are a church

Section 7: Public Sector Bodies/Local Authorities, Public Sector Pension Schemes, Sovereign Wealth Funds

A. About the organisation

Organisation name	
Account number (existing investors only)	
Account designation (if applicable)	
Registered address	
Postcode	Country
Business or correspondence address (If different from above)	
Postcode	Country
Contact Name	Email
Website	Telephone

Provide details of the type and purpose of the organisation:

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B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm.

- ☐ Directors, executive committee members/representatives or equivalent
- ☐ The most senior person within the organisation (state the capacity as 'most senior person')
- ☐ Any other individuals exercising significant control
- ☐ The signatories to this application form (if not already listed)

C. Supporting documentation (required to comply with Anti-Money Laundering regulations)

You will also need to provide the following information. Please tick to confirm that it has been included with your application. Please see certification guidelines on page 23 for guidance. We may request further information from you after the account is opened if required.

- ☐ Authorised signatory list
- ☐ Completed beneficial owners and senior management details

Part A - Investment Details

Investment amount

Share class	Lump sum	
	Minimum amounts	Amount
T Class - 1.0% Annual Management Charge	£1,000	
R Class - 1.5% Annual Management Charge	£1,000	
I Class - 0.9% Annual Management Charge	£5,000,000	

Income choice - please tick one of the boxes below

- Accumulation ☐ Income is retained within the fund and added to your investment
- Income ☐ Income will be paid to you semi-annually

Your bank details for redemptions and income distributions (where applicable)

Name of Bank ALLIED IRISH BANK (GB)

Branch MANCHESTER Account holder(s) name AEROPA LTD SSAS.

Sort code 238396 Account number 04919088

For international bank accounts, please provide the following information

BIC/SWIFT ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ IBAN

The above are to be treated as the standing instructions for payment of the redemption settlement proceeds by bank transfer for value within four business days after the valuation point following the dealing instruction(s).

- ☐ If you wish to use different account details for your income payments, please tick this box and supply a covering letter with these details (not available on non-UK bank accounts).

Payment method

Important - Below are our bank account details for investments into the Fundsmith Equity Fund. You are required to send us the exact amount quoted above (net of any charges) within four working days of your Application Form being received, so please ensure that you have arranged for payment in good time. Payments received before or after this time can and will be returned, and we reserve the right to cancel your investment if money is not received within the settlement period.

Bank account details

Account name: Fundsmith LLP Sort code: 60-00-01

Account number: 39569128 IBAN: GB42NWBK60000139569128

Bank name: National Westminster Bank BIC/SWIFT: NWBKGB2L

Bank address: Natwest Bank Plc, City of London Office.
1 Princes Street, London EC2R 8BP,

Please quote your name and Fundsmith account number (if you have one) as a reference on the payment.

Declaration and signature(s)

By signing this form, the applicant declares (delete as appropriate):

- The information given in this application form about it is correct to the best of the applicant's knowledge and belief.
- The applicant will notify Fundsmith immediately should any of the information about it, and in particular, any information about its tax residency changes.
- The applicant is the beneficial owner of this investment.*
- Payment has been instructed as detailed on the Investment Details page.**
- The applicant accepts that, in accordance with Fundsmith LLP's money laundering obligations, Fundsmith LLP may require additional information from the applicant and it acknowledges that electronic data sources may be used to check its identity.
- The applicant is NOT a U.S. person, i.e. a U.S. citizen or tax resident in the United States of America.
- The applicant will notify Fundsmith LLP immediately in the event that it becomes a U.S person.
- The applicant understands that the Fundsmith Equity Fund is not available to U.S persons.
- The applicant has a copy of the Key Investor Information Document and the Supplementary Information Document and has kept them for its records.
- The applicant consents to Fundsmith LLP providing the Key Investor Information Document and the Supplementary Information Document via Fundsmith's website at www.fundsmith.co.uk.
- Fundsmith will hold any personal information provided by the applicant in confidence and in accordance with data protection law. By completing this Application Form, consent is given to the processing of personal data in accordance with Fundsmith's data protection policy which is set out in the Supplementary Information Document including the transfer of personal data outside of the European Economic Area.
- The applicant declares that it has read the data protection section of the Supplementary Information Document. Please tick this box if you wish to receive marketing communications via email and post from Fundsmith ☒

* If the applicant is not the beneficial owner, delete this part of the declaration and complete the additional section of this form for beneficial owners.

** Payment must be made within T+4 (Trade Date + 4 working days) to comply with our settlement terms. If funds are not received within this time, we reserve the right to cancel the trade.

Signature and Capacity

Date

Signature: <i>Paul Andreucci</i>		Date: 26/2/20
Title: MR	Surname: ANDREUCCI	
Forename(s): PAUL		D.O.B. DD/MM/YYYY
Residential address: 7 DOONVIEW GARDENS, ATR,		
		Postcode: KA7 4HZ

Signature and Capacity

Date

Signature: <i>F. Andreucci</i>		Date: 26/2/20
Title: MRS	Surname: ANDREUCCI	
Forename(s): FIONA		D.O.B. DD/MM/YYYY
Residential address: 7 DOONVIEW GARDENS, ATR,		
		Postcode: KA7 4HZ

Part A - Agent Details

Agent

As Agent on the deal, I/we certify that:

- The identity of the above named investor(s) has/have been verified by me/us in accordance with or to a level exceeding the standard evidence set out in the guidance for the UK financial sector issued by the Joint Money Laundering Steering Group (JMLSG).
- The documentary evidence to support the identification is held by me/us and can be produced on demand.

Name of adviser/firm/agency

Financial services register number

Your Fundsmith agency code

Please indicate whether advice has been given to UK investor

Yes (default) ☐

No ☐

Please confirm whether you are an 'Advice Giving' or 'Execution Only' agent on this account. Please note that renewal commission can only be paid on accounts that are i) Invested in the R Class ii) Set as Execution Only and iii) Are eligible to receive it.

If you are setting up the account to receive renewal commission, please also confirm by way of a covering letter, the bank account details for your agency and something to verify them (original or certified copy of a bank statement):

☐ Advice Giving

☐ Execution Only

Stamp (including registered address)

Signature

Date

Data protection and sharing of information

Where we are notified of your financial or investment adviser, personal information provided may be shared with such adviser. You should notify us in writing if you no longer wish personal information to be shared with your adviser or of any change in the adviser.

Part B – Beneficial Owners

Beneficial owners

In this section, the applicant should provide details of the following individuals as applicable: (a) beneficial owners, (b) politically exposed persons (PEP); and (c) registered holders of shares.

Guidance on beneficial owners

A beneficial owner is the individual or individuals who ultimately own or control the applicant entity. The individual or individuals identified as beneficial owners will depend on the legal structure of the applicant. A “beneficial owner” of a corporate entity or a partnership is any individual who controls the entity, exercises ultimate control over the management of the entity or owns or controls (in each case whether directly or indirectly), including through bearer share holdings or by other means, more than 25% of the shares or voting rights in the entity. For a trust, a beneficial owner includes:

- the trustees;
- the settlor of the trust;
- the beneficiary of the trust (where a trust is for the benefit of a class of beneficiaries, the class of beneficiaries should be described and further information may be requested); and
- any individual who has control over the trust.

You do not need to complete this section if your company is a listed company or a majority owned and consolidated subsidiary of a listed company. (Corporate Member or Corporate Director)

Guidance on politically exposed persons (“PEP”)

A PEP is an individual who is entrusted with prominent public functions, other than as a middle-ranking or more junior official

A “family member” of a PEP includes the following individuals:

- the spouse or civil partner of the PEP;
- children of the PEP and the spouses or civil partners of the PEP’s children;
- parents of the PEP.

“Known close associate” of a PEP means an individual:

- known to have joint beneficial ownership of a legal entity or a legal arrangement or any other close business relations with a PEP;
- who has sole beneficial ownership of a legal entity or a legal arrangement which is known to have been set up for the benefit of a PEP.

Non-Individual (e.g. Corporate Trustee, Corporate Member or Corporate Director)

Name

Business address:

Postcode

Capacity and percentage ownership (if applicable)

Named beneficiaries or class of beneficiary

If there are no named beneficiaries, please confirm the class of beneficiary, e.g. grandchildren, the homeless.

Individuals

Please complete all details using block capitals.

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☒

Title: ☒ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name **PAUL ANDREUCCI**

Permanent residential address: **7 DOONVIEW GARDENS, AYK**

Postcode **KA7 442**

Beneficial owner category and percentage ownership (if applicable) **TRUSTEE**

Part B - Beneficial Owners

Part B - Details of beneficial owners and senior management - continued

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

Title: ☐ Mr ☒ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name FIONA ANDREUCCI

Permanent residential address: 7 DOONVIEW GARDENS ATR

Postcode KA7 4H2

Beneficial owner category and percentage ownership (if applicable)

TRUSTEE / SCHEME ADMINISTRATOR

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

Part B - Details of beneficial owners and senior management - continued

 Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

 Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

 Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

 Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

 Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

 Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

 Are you are PEP, a family member of a PEP, or a known close associate of a PEP? Yes ☐ No ☐

 Title: ☐ Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other please specify

Name

Permanent residential address:

Postcode

Beneficial owner category and percentage ownership (if applicable)

For applicants with no legal personality, shares will be registered in the name of appropriate individuals rather than the name of the applicant. If relevant, specify below which of the individuals listed above will be the registered holders of the shares (maximum 4 individuals):

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 within the Appendix 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

Section 1: Tax residency information

- 1.1 Please state the country in which your organisation is resident for tax purposes: UK
- 1.2 Please provide us with your organisation's Tax Identification Number:

Section 2A: Organisation's classification under FATCA²

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:

- 2.1 ☐ UK Financial Institution⁵ or a Partner Jurisdiction Financial Institution⁶.
- 2.2 ☐ Participating Foreign Financial Institution (in a non-IGA jurisdiction⁷).
- 2.3 ☐ Non-Participating Foreign Financial Institution⁸ (in a non-IGA jurisdiction⁷).
- 2.4 ☐ Financial Institution resident in the U.S.A. or in a U.S. Territory⁹.
- 2.5 ☐ Exempt Beneficial Owner¹⁰.
- 2.6 ☐ Deemed Compliant Foreign Financial Institution¹¹ (besides those listed above).

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

- 2.7 ☐ Active Non-Financial Foreign Entity¹².
- 2.8 ☐ Passive Non-Financial Foreign Entity¹³ (If you tick this box, please include individual self-certification forms for each of your Controlling Persons⁴).

Section 2B: Complete this only if your organisation is U.S. Tax Resident (box 1.1)

☐ Tick this box if your organisation is any of the following and therefore not a Specified U.S. 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 Common Reporting Standard (CRS)²

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

- 3.1 ☐ 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).
- 3.2 ☐ A professionally managed Investment Entity²³ outside of a CRS Participating Jurisdiction²⁴ (If you tick this box, please include individual self-certification forms for each of your Controlling Persons⁴).
- 3.3 ☐ Active Non-Financial Entity²⁰ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation.
- 3.4 ☐ Active Non-Financial Entity²⁰ (other than those listed in 3.3 above).
- 3.5 ☐ Passive Non-Financial Entity²¹ (If you tick this box, please include individual self-certification forms for each of your Controlling Persons⁴).

Section 4: Declaration for FATCA and CRS²

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. I agree to notify Fundsmith 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

Country of incorporation or organisation

Signatures*

Capacity

Date

*Please provide two authorised signatures with capacities.

Part C – FATCA/CRS Certification

Individual Self-certification

Tax residency

Tax regulations¹ require us to collect information about each investor's tax residency². In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account(s) with Her Majesty's Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions³.

Please indicate all countries in which you are resident for tax purposes and your associated Tax Identification Number(s) in the table below. If you are also a U.S. citizen you must include United States in this table along with your U.S. Tax Identification Number. If you have any questions about your tax residency², please contact your tax adviser.

Country/Countries of tax residency

Tax identification number*

UK.	NP 86 88 21 C.

*If you are resident in the UK this is your National Insurance Number

Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.

I agree to notify Fundsmith immediately if any of this information changes in the future.

Name (please print in full)	PAUL ANDREUCCI	
Permanent residential address	7 DOONVIEW GARDENS	
	AYR	
	SCOTLAND.	
	Postcode	KA7 4H2.
Country	UK.	D.O.B. 17/04/1968

Signature

Date

Paul Andreucci	26/2/20
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¹ The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

² In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.

³ Those countries that have agreed to exchange information under FATCA and the CRS1.

Explanatory Notes – FATCA & CRS

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

1. Tax 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.

2. FATCA and CRS

- **FATCA**

FATCA regulations in sections 1471 to 1474 of the U.S. 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.

3. Non-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 air 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.

4. Controlling 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

5. Financial 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.

6. Partner 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 U.S. to facilitate the implementation of FATCA.

7. Non-IGA jurisdiction

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

8. Non-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.

Explanatory notes (cont.)

9. U.S. Territory

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

10. Exempt 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.

11. Deemed 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.

12. Active Non-financial Foreign Entity (NFFE)

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

- (i) 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;
- (ii) 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;
- (iii) 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;
- (iv) 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;
- (v) 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;
- (vi) 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;
- (vii) the NFFE 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;
- (viii) 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
- (ix) the Entity is a Non-profit organisation³;
- (x) the NFFE is an “Excepted NFFE” as described in relevant U.S. Treasury Regulations.

13. Passive Non-financial Foreign Entity (PNFFE)

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

14. Non-financial Foreign Entity (NFFE)

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

15. Related 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.

16. Specified U.S. 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);

Explanatory notes (cont.)

- (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

17. Financial Institution

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

18. Non-reporting Financial Institution

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

- (i) 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;
- (ii) 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;
- (iii) 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;
- (iv) an Exempt Collective Investment Vehicle; or
- (v) 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.

19. Related 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.

20. Active Non-financial Entity (NFE)

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

- (i) 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;
- (ii) 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;
- (iii) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- (iv) 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;
- (v) 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;

Explanatory notes (cont.)

- (vi) 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;
- (vii) 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
- (viii) the Entity is a non-profit organisation³.

21. Passive 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 Institution.

22. Non-financial Entity (NFE)

The term "NFE" means any Entity that is not a Financial Institution⁴⁷.

23. Investment Entity

The term "Investment Entity" means any Entity:

- (i) which primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - (a) 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;
 - (b) individual and collective portfolio management; or
 - (c) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
 - (ii) 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:
- (a) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or
 - (b) 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) (i) through (ii) 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.

24. Participating 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.

Explanatory Notes - Certification Guidelines

Please note we only accept original or certified copies and all original documents will be returned as soon as possible. For UK/EEA registered companies, copies must be certified and dated by an authorised signatory or company secretary within the firm. For all other entities, copies must be certified and dated by an independent professional or regulated person subject to the Anti-Money Laundering regulations and include the signature, name and position of the person signing. The certification must be dated within the last 6 months.