

APPLICATION FORM

Valid from 1 February 2021

You should use this form if you wish to invest in the Henderson Investment Funds Limited range. Further information is contained in the Prospectus, the Additional Investor Information Document ("AIID"), and the Key Investor Information Document ("KIID"). If you wish to invest in the Henderson Investment Funds Limited range within an ISA, please complete the separate ISA application form instead of this one. Please complete this form in **BLOCK CAPITALS** and return it to **Janus Henderson Investors, PO Box 9023, Chelmsford CM99 2WB**. Cheques should be made payable to 'Henderson Investment Funds Limited'.

SECTION 1 – About yourself

EXTERNAL CODE: KIID

Title	Email
Surname	Date of birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
First name(s)	Account designation* (if applicable)
Permanent residential address	Registered name (if not an individual eg company name/trust)
Postcode	Occupation (private individuals)
Daytime Tel No.	Nationality (private individuals)
Evening Tel No.	Account number (for existing account holders)
	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Tax residency (individuals only)

Tax regulations¹ require us to collect certain information about each investor's tax residency². 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 Her Majesty's Revenue and Customs (HMRC) who may in turn share the information with any or all participating tax jurisdictions³. If you have any questions about your tax residency, please contact your tax adviser. For further information, please see HMRC's Quick Guide: Automatic Exchange of Information which is available on their website at www.gov.uk.

Please indicate all countries in which you are resident for tax purposes and the associated Tax Identification Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

Country/Countries of Tax Residency	Tax Identification Number

Joint holder

Joint Holder Details *If there are more than two holders (up to a maximum of four), then we need to be advised on a separate sheet detailing the required information contained in Section 1 to be sent with this application form.*

Title	Email
Surname	Daytime Tel No.
First name	Evening Tel No.
Permanent residential address	Date of birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	Registered name (if not an individual eg company name/trust)
	Occupation (private individuals)
Postcode	Nationality (private individuals)

Country/Countries of Tax Residency	Tax Identification Number

*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.

Investments cannot be registered in the name of any trust or executorship but must be registered in the names of the individual trustees and their details inserted in Section 1 or provided on a separate sheet.

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

Please insert the address of the trust if different from the address in the section one.

Address:

If this application is on behalf of a trust please complete a separate Entity Self-Certification form.

Agent's stamp

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

Agency ref:

Advice not given by the agent to the customer.

Discount %:

Commission payable %:

Advice given by the agent to the customer.

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

Media code:

Beneficial ownership - This section must be completed.

A beneficial owner is an individual or class of persons, such as a trust, who ultimately own(s) an investment that may be registered either in their name or another person's name on their behalf.

Are you the beneficial owner of this investment? Yes No. If no then please provide details:

Private individuals – If the application is designated for the benefit of another individual(s), their details must be listed here.

Body corporates or partnerships – Beneficial owners that are required to be listed are individuals who ultimately own or control more than 25% of the voting rights or are entitled to more than 25% of its capital profits, or otherwise have a controlling interest over the management of the company or partnership of more than 25%. Body Corporates must indicate what type of entity they are, from the following list.

- | | | |
|---|--|--|
| <input type="checkbox"/> UK and EEA Regulated Firm | <input type="checkbox"/> Regulated Occupational Pension | <input type="checkbox"/> Independent School/University |
| <input type="checkbox"/> Non UK/EEA Regulated Firm | <input type="checkbox"/> Regulated Personal Pension | <input type="checkbox"/> UK Church or Place of Worship |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Local Authority Pension Scheme | <input type="checkbox"/> Parochial Church Council |
| <input type="checkbox"/> Nominee – Regulated Parent | <input type="checkbox"/> Unregulated UK & Irish Pension | <input type="checkbox"/> Body Subject to Statutory Licensing |
| <input type="checkbox"/> Nominee – Unregulated Parent | <input type="checkbox"/> Incorporated Registered Charity | <input type="checkbox"/> Partnership / Unincorporated |
| <input type="checkbox"/> Public Limited Company | <input type="checkbox"/> Unregistered Charity | <input type="checkbox"/> Lawyer/Accountant/Professional |
| <input type="checkbox"/> Private Corporate | <input type="checkbox"/> Unincorporated Registered Charity | <input type="checkbox"/> Club or Society |
| <input type="checkbox"/> Sovereign Wealth Fund | <input type="checkbox"/> Public Sector/Local Authority | <input type="checkbox"/> Other – Please specify |

Trusts or other similar arrangements – Beneficial owners are all individuals who are nominated to benefit from the trust property, or trustees that are not already noted on the application that may exercise control over the management of the trust or arrangement.

If you are unsure on how to complete this section, please contact our Investor Services team on 0800 832 832.

Name of beneficial owner	Permanent address	Date of birth	Control percentage
1.			
2.			
3.			
4.			

(If there is insufficient space to complete the section above, please provide additional information on a separate sheet).

SECTION 2 – Investment selection

Please select the fund(s) and the share unit/class you wish to invest in using our **investment options form** and write the fund details and your investment amount in the appropriate box, depending on whether you wish to invest a lump sum or by monthly savings. Further information on the funds and share/unit classes can also be found within each fund's prospectus.

Cheques should be made payable to '**Henderson Investment Funds Limited**.' If you are investing via regular savings, remember to complete the Direct Debit mandate on the last page of this application.

Please turn over to read, sign and date the declaration and if you are a corporate entity (not an individual), please complete the Entity Declaration Section.

Fund Name	Share/Unit Class	Lump Sum	Monthly Saving*	Monthly Withdrawal Facility**	
				Per Month	Per Annum (% of total investment)
<i>Example: All Stocks Credit Fund</i>	<i>A Acc</i>	<i>£1000</i>	<i>£100</i>	<i>£</i>	<i>%</i>

*Monthly Saving

Please indicate the date on which you wish collections to be made. If not specified, we will collect on the 1st of each month.

1st of the month 15th of the month

**Monthly withdrawal facility

Monthly withdrawal facility is only available for certain funds, please check our **investment options form** for more details. If you wish to use the monthly withdrawal facility, you should indicate from which fund(s) the withdrawals should be taken and the amount per month or percentage per annum. You should also complete the income and redemption payments section below. 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). Otherwise, your income will be reinvested.

SECTION 3 – Income and Redemption Payments

Income

Should you wish income to be paid to you, please select to be paid directly to your bank or building society account:

Alternatively, where applicable, income will be automatically reinvested for you.

Redemptions

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

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

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

SECTION 4 – Declaration and authority

I/We wish to purchase shares/units in accordance with my/our instructions on this application form. I am/We are over 18 years of age. I/We enclose a cheque made payable to Henderson Investment Funds Limited for the lump sum amount to be invested and/or the first monthly payment and confirm that all these monies are my/our own.

I/We accept that under United Kingdom legislation and regulations concerning the prevention of money laundering and terrorist financing, all investors must be identified and I/we may be required to provide additional information to verify my/our identity. Henderson Investment Funds Limited and the Registrar and Transfer Agent shall be indemnified against any loss ensuing due to any delays in processing this application if such information required has not been provided.

I/We confirm that I/we cannot be classified as a US person(s) (as defined in the Prospectus). I/We acknowledge that US persons cannot hold shares in any of the funds listed.

I/We have read and agree to be bound by the Prospectus, including those parts that explain the basis on which Henderson Investment Funds Limited will provide certain services to me/us. I have received and read an up-to-date version of the KIID. The Prospectus, Key Investor Information Document ("KIID"), and Additional Investor Information Document ("AIID") will constitute a written agreement between me/us and Henderson Investment Funds Limited, may be updated and/or amended from time to time in accordance with their terms, and can be found at the literature library, which can be found at www.janushenderson.com. 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 Investment Funds Limited.

I/We agree to notify Henderson Investment Funds Limited immediately in the event that the information relating to tax residency changes.

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

I/We have read the Prospectus which explains that Henderson Investment Funds Limited may use the Delivery versus Payment exemption during a one day window and may not therefore treat money received from me/us on subscriptions and payables to me/us on redemptions as client money for that period; and that money in those circumstances will not be protected from the insolvency of Henderson Investment Funds Limited. I/We consent to Henderson Investment Funds Limited using this Delivery versus Payment exemption.

If there are joint applicants all of them must sign and date.

Corporate/Entity application – If you are completing this form on behalf of a company, please also complete the separate Entity Self-Certification Form, which must be completed in full and returned with this Application Form in order for your application to be processed. Please also be aware that we will require two authorised signatures and a company stamp in order to proceed with this application.

Signature	Date
Signature	Date
Signature	Date
Signature	Date

Data Protection and Consent to Marketing

The use of the personal data you provide to us in this Application Form is governed by the General Data Protection Regulation (EU) 2016/679 (GDPR) and Janus Henderson's Privacy Policy. The Privacy Policy details our collection, use and processing of your personal data (including the data you provide in this form) and sets out your rights. A copy of the document is available under the Privacy Policy section of our website at www.janushenderson.com and in hard copy by sending a request to privacy@janushenderson.com.

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

SECTION 5 – Important Information

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

Redemption payments – Payments will be issued by cheque unless you complete Section 3.

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

Tax residency

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.

⁴ You are not required to provide your Tax Identification Number or Date of Birth if you are tax resident² only in the UK. If you are tax resident only in a jurisdiction which is not participating under these tax regulations¹ you are not required to provide your Tax Identification Number.

Application Checklist

Please read the following as incomplete applications may have to be returned.

1. Have you completed in full the ‘About yourself’ information in Section 1?
2. If there are more than two holders, have their personal details been supplied on a separate sheet?
3. Have you selected the fund(s) in which you wish to invest and the amount you wish to invest per fund?
4. Have all holders signed and dated the application form in the space provided or on a separate sheet?
5. If you are a lump-sum investor (income shares/units only) and want income paid out to you, have you completed the Income and Redemption Payments section and provided verification of the bank account? If you do not complete this, your income, where applicable, will automatically be reinvested to purchase further shares/units in the fund(s).
If you are investing via monthly savings, where applicable, your income will automatically be reinvested.
6. 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 note a cheque for your first monthly investment must be enclosed.
7. Have you enclosed your cheque made payable to **Henderson Investment Funds Limited**?

Please do not use staples.

Please return your application form and cheque(s) to **Janus Henderson Investors, PO Box 9023, Chelmsford CM99 2WB**.

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

SECTION 6



Instruction to your bank or building society to pay by Direct Debit



Please fill in the whole form using a ball point pen and send to: Janus Henderson Investors, PO Box 9023, Chelmsford, CM99 2WB.

Name and full postal address of your bank or building society

To: The Manager Bank/building society
Address
Postcode

Service user number

6 9 6 7 1 5

Reference

[Reference input grid]

Name(s) of account holder(s)

[Name input box]

Bank/building society account number

[Account number input grid]

Branch sort code

[Branch sort code input grid]

Instruction to your bank or building society

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

Signature(s)
Date



Banks and building societies may not accept Direct Debit Instructions for some types of account.

This Guarantee should be detached and retained by the payer

The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
If there are any changes to the amount, date or frequency of your Direct Debit, Henderson Investment Funds Limited will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request Henderson Investment Funds Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request
If an error is made in the payment of your Direct Debit, by Henderson Investment Funds Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Henderson Investment Funds Limited asks you to.
You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

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

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