

# Application Forms for Stocks and Shares ISAs 2024/25

From 29 April 2024

# Welcome

Thank you for considering an investment with Allianz Global Investors. Depending on the nature of your investment you will have to fill in certain parts of this form. We have created a checklist below in order to help you establish what you need to complete and take you step by step through the process. The form itself begins overleaf; if you have any problems or questions please get in touch, our contact details are at the top of each page or on the side of this page.

## Questions?

For the Prospectus and Manager Reports, please visit our website:

[www.allianzgi.com](http://www.allianzgi.com)

For general administration and valuation queries, please contact:

0800 073 2001

## Application Checklist

### 1. Provide proof of Identity *(New customers only)* Completed

- Complete the **Identity Validation Certificate**
- Provide proof of identity and address

### 2. Read key documentation Read

- Read the relevant **Key Investor Information Document (KIID)** and the **Supplementary Information Document (SID)** available at [www.allianzgi.co.uk](http://www.allianzgi.co.uk) or from your financial advisor
- Read the subscription terms and conditions set out in this Application Form

### 3. Complete the appropriate application form Completed

- Sign the application form once you are comfortable that you have read and understood the information within the KIID(s), the SID and the subscription terms and conditions in this Application

### 4. Decide on method of payment Completed

- **Lump Sum:** For a single lump sum please enclose a cheque made payable to '**Allianz Global Investors UK Limited/Your Name**'   
OR
- **Regular Savings:** Please complete the **Direct Debit** section of the appropriate application form

### 5. Return your form Sent

- Send your **completed** and **signed** application form(s) and your cheque (lump sum investments only) to **Allianz Global Investors, PO Box 9031, Chelmsford, CM99 2WN**





For help with this form, or to speak to the Administrator,  
please contact: **0800 073 2001**

# Application Form to Invest or Top Up your ISA Stocks and Shares Investment

You are applying for a Stocks & Shares ISA for the tax year starting on 6 April 2024 and ending on 5 April 2024 and for subsequent tax years in the case of monthly investments. The ISA annual allowance for the tax year ended 5 April 2024 is £20,000.

## How to apply

- Complete this form if you wish to make an investment into an AllianzGI fund for the **first time** or if you wish to **add to an existing investment**.
  - Please write in **BLOCK CAPITALS** and provide all required information.
  - Please read the relevant **Key Investor Information Document (KIID)** and the **Supplementary Information Document (SID)** which can be found at [www.allianzgi.co.uk](http://www.allianzgi.co.uk) before signing this form.
  - You may request copies of the latest KIID(s), SID, Manager’s Report(s) or Prospectus, free of charge, by calling 0800 073 2001.
  - You can find your National Insurance number on your payslip or request it from your employer or Tax Office.
  - Husbands, wives and civil partners should apply separately. You may subscribe only his or her own cash, paid directly to the Account Manager. Please remember that you may take out only one Stocks & Shares ISA, such as the Allianz Investment Fund Stocks & Shares ISA, in each tax year.
  - Once complete, please return this form to Allianz Global Investors, PO Box 9031, Chelmsford, Essex, CM99 2WN.
- Allianz Investment Funds are sub-funds of the Open-Ended Investment Companies: Allianz UK and European Investment Funds and Allianz International Investments Funds.

### 1. Personal Details – All Applicants *(we require this information to open your account)*

#### Details of Holder

Title (Mr, Mrs, Miss etc.)

Family Name

Given Name(s)

Permanent Residential Address

Postcode

Date of Birth

National Insurance No.

Please tick here if you do not have a National Insurance Number

Existing Account No.

## Information you should know

- Funds may have a number of different share classes. Investments made using this form will be invested into the **‘C’ Share class (‘I’ Share class for Gilt Yield Fund)** - for more information on this or other share classes please contact your Financial Advisor or our Investment Fund Administrators on 0800 073 2001.





For help with this form please contact the Administrator: **0800 073 2001**

5. I hereby authorise Allianz Global Investors UK Limited:

- (i) to hold my cash subscription, Stocks & Shares ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash;
- (ii) on my written request to transfer or pay to me, as the case may be, Stocks & Shares ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

The information on this completed Application Form is correct to the best of my knowledge and belief. I have read and agree to be bound by the Terms and Conditions relating to the Stocks & Shares ISA and to inform you in writing immediately of any changes in my circumstances. I understand that this application is subject to acceptance by the Stocks & Shares ISA Manager. I enclose a cheque made payable to Allianz Global Investors UK Limited/My Name for the amount in the Total Investments box (applies to lump sum investments only) and confirm that these subscription funds are my own. I have read and understood the accompanying Key Investor Information Document (KIID) & Supplementary Information Document (SID) and agree to the ISA Terms and Conditions.

Signature

Date

D	D	M	M	Y	Y
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Allianz Global Investors UK Limited, company number 11516839, is authorised and regulated by the Financial Conduct Authority.

### General Data Protection Regulation

Any personal data contained in this application form, together with any other personal data that is furnished in connection with an investment in the Company, shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in compliance with the Regulation (EU) 2016/679 of 27 April 2016 (the "EU General Data Protection Regulation/ EU GDPR"), the UK GDPR which is the EU GDPR as transposed into the laws of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018) as well as any applicable law or regulation relating to the protection of personal data, as described in further detail in the Company's data privacy notice (the "Privacy Notice"), the current version of which is available on the website at <https://regulatory.allianzgi.com/en/gdpr> and a copy of which is attached at Appendix 1 hereto.

To the extent that the information contained in this application form or any other information that is furnished in connection with an investment in the Company constitutes personal data in respect of another individual, I/we warrant that I/we have provided a copy of the Privacy Notice to such individual and have been authorised by that individual to acknowledge on that individual's behalf that such data shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in the manner outlined herein.

Signature

Date

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### Note

1. When you have completed this application form, we recommend that you keep a copy of it for your records.



For help with this form, or to speak to the Administrator, please contact: **0800 073 2001**

# Application Form to Transfer your Current ISA Investment to an AllianzGI ISA

## How to apply

- This form is used to transfer your current investment into an AllianzGI ISA.
- Please write in **BLOCK CAPITALS** and provide all required information.
- Please read the relevant **Key Investor Information Document (KIID)** and the **Supplementary Information Document (SID)** which can be found at [www.allianzgi.co.uk](http://www.allianzgi.co.uk) before signing this form.
- You may request copies of the latest Key Investor Information Document(s) (KIID(s)), Supplementary Information Document (SID), Manager’s Report(s) or Prospectus, free of charge, by calling 0800 073 2001.
- Before you invest, please speak to your financial advisor if you are unsure if the investment is right for you.
- Once complete, please return this form to Allianz Global Investors, PO Box 9031, Chelmsford, Essex, CM99 2WN.
- Please ensure that you provide your **date of birth** and your **National Insurance Number** as we cannot open your Stocks & Shares ISA without them.
- Your National Insurance Number can be obtained from your employer, e.g. payslip or local Tax Office.

## Information you should know

- Each fund may have a number of different share classes. Investments made using this form will be invested into the **‘C’ Share class (‘I’ Share class for Gilt Yield Fund)** - for more information on this or other share classes please contact your Financial Advisor or our Investment Fund Administrators on 0800 073 2001.

- Allianz Investment Funds are sub-funds of the Open-Ended Investment Companies: Allianz UK and European Investment Funds and Allianz International Investments Funds.

## 1. Personal Details – All Applicants

*(we require this information to open your account)*

### Details of Holder

Title (Mr, Mrs, Miss etc.)

Family Name

Given Name(s)

Permanent Residential Address

Postcode

Date of Birth

National Insurance No.

Please tick here if you do not have a National Insurance Number.

If you already hold Allianz OEIC investments, please write your existing Account Number here

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For help with this form please contact the Administrator: **0800 073 2001**

## 2. Investment Choice

Please write, **in percent**, how you would like your investment to be divided across the range (*minimum lump sum £1,000 per fund*).

### Allianz UK & European Equity Funds (Accumulation Shares)

Allocation

Continental European	<input type="text"/>	%
UK Listed Equity Income	<input type="text"/>	%
UK Listed Opportunities	<input type="text"/>	%

### Allianz Bond Funds and Allianz Income Shares<sup>1</sup>

Allocation

Gilt Yield	<input type="text"/>	%
Strategic Bond	<input type="text"/>	%
UK Listed Equity Income	<input type="text"/>	%

### Allianz International Funds (Accumulation Shares)

Allocation

#### Allianz RiskMaster:

Conservative	<input type="text"/>	%
Moderate	<input type="text"/>	%
Growth	<input type="text"/>	%
Best Styles Global AC Equity	<input type="text"/>	%
China A-Shares Equity	<input type="text"/>	%
Emerging Markets Equity	<input type="text"/>	%
Thematica	<input type="text"/>	%
Total Return Asian Equity	<input type="text"/>	%

### Allianz International Funds (Income Shares)

Allocation

Total Return Asian Equity	<input type="text"/>	%
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**Total** (allocation 100%)

100%

<sup>1</sup> Please complete section 4 regarding income payment/reinvestment. This option is only available for investors in Income Shares. All other funds accumulate income within the share price.

## 3. Transfer Details

- Please provide details of your existing Plan Manager from whom you wish to transfer. If you wish to transfer Stocks & Shares ISAs from more than one Manager, please complete a separate transfer form for each one (photocopies of this form may be used). You may also transfer to us from an existing Cash ISA, but please note that a Stocks & Shares ISA can not then be transferred back to a cash ISA.
- I hereby authorise you to liquidate my account and to transfer forthwith the proceeds of the Stocks & Shares or Cash ISA detailed opposite to Allianz Global Investors UK Limited.
- I hereby authorise you to provide Allianz Global Investors UK Limited with all such relevant information relating to my ISA as it may require.

Signature

Date

D	D	M	M	Y	Y
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Existing Plan Manager's Name

Address



Postcode

**Please specify whether you wish to transfer all your Stocks & Shares or Cash ISA or part of it?**

(please tick one)

**All**

**Part (excluding PEP)**

**Part (excluding ISA)**

**If 'part' which tax years of your former PEP/ISA do you wish to transfer?**

Date(s)

Y	Y	Y	Y
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Y	Y	Y	Y
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Y	Y	Y	Y
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Y	Y	Y	Y
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Y	Y	Y	Y
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- Please note your bank may not be able to split your investment.



For help with this form please contact the Administrator: **0800 073 2001**

(ii) to make on my behalf any claims to relief from tax in respect of interest distributions on Stocks & Shares ISA investments; and

(iii) on my written request to transfer or pay to me, as the case may be, Stocks & Shares ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

- The information on this completed transfer form is correct to the best of my knowledge. I have read and agree to be bound by the Terms and Conditions relating to the Stocks & Shares ISA transfer and to inform you in writing immediately of any changes in my circumstances. I understand that this application is subject to acceptance by the Plan Manager.
- I confirm that I have been offered the Prospectus and the latest copies of the Manager's Report and Accounts and I have read and understood the accompanying Key Investor Information Document (KIID) & Supplementary Information Document (SID) and agree to the ISA Terms and Conditions.

Signature (1)

Date

D	D	M	M	Y	Y
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Allianz Global Investors UK Limited, company number 11516839, is authorised and regulated by the Financial Conduct Authority.

### General Data Protection Regulation

Any personal data contained in this application form, together with any other personal data that is furnished in connection with an investment in the Company, shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in compliance with the Regulation (EU) 2016/679 of 27 April 2016 (the "EU General Data Protection Regulation/ EU GDPR"), the UK GDPR which is the EU GDPR as transposed into the laws of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018) as well as any applicable law or regulation relating to the protection of personal data, as described in further detail in the Company's data privacy notice (the "Privacy Notice"), the current version of which is available on the website at <https://regulatory.allianzgi.com/en/gdpr> and a copy of which is attached at Appendix 1 hereto.

To the extent that the information contained in this application form or any other information that is furnished in connection with an investment in the Company constitutes personal data in respect of another individual, I/we warrant that I/we have provided a copy of the Privacy Notice to such individual and have been authorised by that individual to acknowledge on that individual's behalf that such data shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in the manner outlined herein.

Signature (1)

Date

D	D	M	M	Y	Y
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### Note

1. When you have completed this application form, we recommend that you keep a copy of it for your records.

For help with this form, or to speak to the Administrator, please contact: **0800 073 2001**

# Application Form to Switch/Transfer your Investment to Another AllianzGI Fund

This form is used to switch your investment from one Allianz fund to another Allianz fund.

## How to apply

- Please write in BLOCK CAPITALS and provide all required information.
- Please read the relevant Key Investor Information Document (KIID) and the Supplementary Information Document (SID) which can be found at [www.allianzgi.co.uk](http://www.allianzgi.co.uk) before signing this form.
- You may request copies of the latest KIID(s), SID, Manager’s Report(s) or Prospectus, free of charge, by calling 0800 073 2001.
- Before you invest, please speak to your financial advisor if you are unsure if the investment is right for you.
- Once complete, please return this form to Allianz Global Investors, PO Box 9031, Chelmsford, Essex, CM99 2WN.

## Information you should know

- Each fund may have a number of different share classes. Investments made using this form will be invested into the ‘C’ Share class (‘I’ Share class for Gilt Yield Fund) - for more information on this or other share classes please contact your Financial Advisor or our Investment Fund Administrators on 0800 073 2001.
- Allianz Investment Funds are sub-funds of the Open-Ended Investment Companies: Allianz UK and European Investment Funds and Allianz International Investments Funds.

## 1. Personal Details – All Applicants (we require this information to open your account)

### Details of Holder

Title (Mr, Mrs, Miss etc.)

Family Name

Given Name(s)

Permanent Residential Address

Postcode

Date of Birth

Existing Account No.

### Details of Joint Holder

Title (Mr, Mrs, Miss etc.)

Family Name

Given Name(s)

Permanent Residential Address

Postcode

Date of Birth

Existing Account No.



For help with this form please contact the Administrator: **0800 073 2001**

#### 4. Declaration – All Applicants

- All subscriptions made, and to be made, belong to me.
- I declare that I am 18 years of age or over and I am resident in the United Kingdom for tax purposes or if not so resident either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the UK or I am married to, or in a civil partnership with, a person who performs such duties.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash ISA and a Stocks & Shares ISA in the same tax year.
- I have not and will not subscribe to any other Stocks & Shares ISA in the same tax year(s) that I subscribe to this Stocks & Shares ISA.

Signature

Date

D	D	M	M	Y	Y
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Allianz Global Investors UK Limited, company number 11516839, is authorised and regulated by the Financial Conduct Authority.

#### General Data Protection Regulation

Any personal data contained in this application form, together with any other personal data that is furnished in connection with an investment in the Company, shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in compliance with the Regulation (EU) 2016/679 of 27 April 2016 (the "EU General Data Protection Regulation/ EU GDPR"), the UK GDPR which is the EU GDPR as transposed into the laws of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018) as well as any applicable law or regulation relating to the protection of personal data, as described in further detail in the Company's data privacy notice (the "Privacy Notice"), the current version of which is available on the website at <https://regulatory.allianzgi.com/en/gdpr> and a copy of which is attached at Appendix 1 hereto.

To the extent that the information contained in this application form or any other information that is furnished in connection with an investment in the Company constitutes personal data in respect of another individual, I/we warrant that I/we have provided a copy of the Privacy Notice to such individual and have been authorised by that individual to acknowledge on that individual's behalf that such data shall be held and processed by and on behalf of the Company acting through its Authorised Board of Directors in the manner outlined herein.

Signature

Date

D	D	M	M	Y	Y
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#### Note

1. When you have completed this application form, we recommend that you keep a copy of it for your records.

# Subscription Terms and Conditions

## 1. Agreement between us

This Application Form is an offer to enter into an agreement with Allianz Global Investors UK Limited (AllianzGI UK/we) to invest in Shares directly either through an AllianzGI UK ISA or outside an ISA.

Your investment in the Shares is subject to the terms and conditions set out in the Prospectus and the following subscription terms and conditions. These subscription terms together with your duly completed and signed Application Form(s) constitute the agreement between us in respect of your investing in Shares of our funds.

Investors investing in Shares through an AllianzGI UK ISA are also subject to the ISA and ISA Transfer Terms and Conditions set out in the AllianzGI UK Supplementary Information Document. To the extent there is any inconsistency between the terms and conditions and the ISA and ISA Transfer Terms and Conditions then the ISA related terms will apply to the extent of the inconsistency, where you have invested through an ISA.

By signing and submitting to us your completed Application Form in accordance with the instructions above you will be accepting these subscription terms and conditions which will take effect when the application is accepted by AllianzGI UK which will typically be on the Business Day of receipt.

## 2. About us

Allianz Global Investors UK Limited, company number 11516839, is incorporated in the United Kingdom, with its registered office at 199 Bishopsgate, London, EC2M 3TY. Allianz Global Investors UK Limited is authorised and regulated by the Financial Conduct Authority with registration number 959195. Details about the extent of our regulation are available from us on request and on the Financial Conduct Authority's website ([www.fca.org.uk](http://www.fca.org.uk)).

## 3. About you

To subscribe you must be:

- Over 18 years of age;
- Resident in the UK for tax purposes;
- Not a US person;
- The beneficial owner of the investments you are applying to make.

By signing the Application Form you are confirming that these statements apply to you and that all information provided in the Application Form is true, accurate and correct in every respect.

AllianzGI UK reserves the right to restrict services if you cease to be eligible as above. You will not be able to make additional investments in Shares in the event that you are no longer an eligible investor.

You are classified by AllianzGI UK as a "retail client" as defined in the FCA Rules. As a retail client, you are entitled to the highest level of protection available under the FCA Rules.

We will communicate with you by letter.

## 4. Investing through AllianzGI UK

AllianzGI UK is the ACD of the Funds in which you are applying to purchase Shares. Subject to the terms of the relevant Prospectus (including, without limitation, in circumstances in which AllianzGI UK or a Fund may mandatorily redeem or convert your Shares) AllianzGI UK will only execute transactions in the Funds on your Instructions (including any duly authorised representative acting on your behalf).

Consequently, AllianzGI UK is not required to assess the suitability of an investment in a particular Fund for you. It does not provide investment advice, tax advice or legal advice. You should therefore consider the terms of investment in any Fund carefully and, if in any doubt, seek professional advice. If you are in any doubt about the suitability or appropriateness of a Fund for your personal circumstances, you should talk to your financial adviser.

By submitting Instructions to invest in a Fund, you



accept and confirm to AllianzGI UK that you have sufficient knowledge and experience to make your own evaluation of the merits and risks of investing in that Fund, and are making such investment decisions in reliance of your own judgement.

AllianzGI UK reserves the right in its absolute discretion and without providing any reason, to accept or reject in whole or in part the application for Shares by any person.

The costs and charges associated with your investment in Shares applied for are set out in the Prospectus, KIID and related information. Other taxes or costs may exist that are not paid via the firm or imposed by it.

## 5. Your Shares

If you hold Shares outside an ISA then the legal title to your Shares will be registered in your name. We do not provide a nominee service.

If you invest through an ISA your Shares will be held in accordance with the ISA and ISA Transfer Terms and Conditions.

## 6. How we will hold your money

When an investor buys or sells Shares there is a short period of time during which the ACD, in the case of buying Shares, holds the cash being paid for Shares, or when selling Shares, the redemption proceeds. In such circumstances money in respect of Shares will be directly transferred to a client money bank account held with an approved bank that AllianzGI UK may from time to time select until such transactions can be completed such that the client money will be segregated from the ACD's own money.

Money transferred to a client money account will be held in accordance with that part of the FCA Handbook which deals with holding client money (the "Client Money Rules"). The purpose of utilising client money accounts is to protect Shareholders should AllianzGI UK become insolvent during such a period.

No interest will be paid on money held in these client money bank accounts. Client money may be held with an approved bank outside the UK. In such case, the relevant accounts will be subject to the laws of that state and the client money may be treated in a different manner from that which would apply if the client money were held by a bank located in the UK.

Where client money is deposited into an account with an approved bank, the approved bank may have a security interest or lien over, or right of set-off in relation to such money, to the extent AllianzGI UK is permitted to grant such rights by the Client Money Rules. AllianzGI UK may hold client money in an omnibus account which means that Shareholder's money may be held in the same account as that of other Shareholders. In an insolvency event Shareholders would not have a claim against a specific amount in a specific account. Shareholders would claim against the client money pool in general. Pooled property in omnibus accounts held by AllianzGI UK may be used for the account of any of the relevant Shareholders.

AllianzGI UK will not be responsible for any loss or damages suffered by Shareholders because of any error or action taken or not taken by any third parties holding client money in accordance with the Client Money Rules, unless the loss arises because AllianzGI UK has been negligent or acted fraudulently or in bad faith. Should the approved bank, or banks, holding the client money bank account become insolvent, AllianzGI UK will attempt to recoup the money on behalf of Shareholders. However, if the approved bank or banks cannot repay all the persons to whom it owes money, any shortfall may have to be shared proportionally between all its creditors including Shareholders. In such circumstances, you may be entitled to compensation under the Financial Services Compensation Scheme.

Further information is set out in the Supplementary Information Document.

### 7. Transfer of business

Except in respect of de minimis sums transferred in accordance with the Client Money Rules (where Shareholder consent is not required), Shareholders agree that AllianzGI UK may transfer to another person, as part of a transfer of business to that person, client money balances, provided that:

- (a) the sums transferred will be held for the relevant Shareholder by the person to whom they are transferred in accordance with the Client Money Rules; or
- (b) if not held in accordance with (a) above, AllianzGI UK will exercise all due skill, care and diligence in assessing whether the person to whom the client money is transferred will apply adequate measures to protect these sums.

For the purpose of this section, de minimis shall mean £25 for retail investors and £100 for all other investors.

### 8. Unclaimed balances

In certain circumstances, if AllianzGI UK has lost touch with a Shareholder and there has been no movement on the account (notwithstanding any payments or receipts of charges, interest or similar items), AllianzGI UK will be permitted to pay the Shareholder's client money balance to charity after six years. At this point, AllianzGI UK shall cease to treat such money as client money. AllianzGI UK will not do so until reasonable efforts have been made to contact the Shareholder in accordance with the Client Money Rules. The Shareholder will still be entitled to recover this money from AllianzGI UK at a later date irrespective of whether AllianzGI UK has paid the money to charity.

### 9. Risks

All investment involves risk. You should not invest in a Fund unless you have fully understood the risks associated with such investment and determined that an investment in your selected Fund(s) is suitable for you. In particular, you should note:

- (A) the risk warnings applicable to your selected Fund(s), as summarised in the relevant KIID and Prospectus;

- (B) following on from (A) above, an investment in Shares involves special risks (as summarised in the relevant KIID and Prospectus) and the value of your Shares may depend on fluctuations in the financial markets outside of AllianzGI UK's control.

Past performance does not predict future returns. Please remember that investing involves risk. The value of an investment and the income from it may fall as well as rise and you might not get back the full amount invested.

### 10. Conflicts of interest

Companies within the Allianz Group may act as investment managers or advisers to other Funds which follow similar investment objectives to those of these Funds. It is therefore possible that potential conflicts of interest could arise. We have policies in place to ensure we act in the best interests of the Funds as far as possible. Please see the full Fund Prospectuses for further details of our conflicts of interest policy.

### 11. Complaints and compensation

Details about how to complain and how to get compensation in case of AllianzGI UK's Insolvency are set out in the Supplemental Information Document.

### 12. Cancellation

Information about cancellation is set out in the Supplementary Information Document.

### 13. Applicable law

The agreement between us is governed by English Law.

AllianzGI UK and its products and services are governed by English law and by entering into a contract with AllianzGI UK you agree that the laws of England and Wales will apply. These contracts are subject to the exclusive jurisdiction of the English Courts. The documentation and contracts are supplied in English and all communication will be in English.

# The Prevention of Fraud and Financial Crime

Applications are subject to the provisions of the Money Laundering Regulations, Proceeds of Crime Act 2002 and all other applicable legal and regulatory requirements, as amended from time to time (together the “Money Laundering Requirements”). To satisfy money laundering requirements, investors will need to provide documentary evidence of their identity and address. This can be done by completing the Identity Verification Certificate and returning it, along with your application form and certain personal identity documents.

For investors investing on the recommendation of a financial adviser, their adviser may complete the identity verification procedures on their behalf. There may be circumstances when we will request additional proof of identity from investors. Whilst this does not usually cause any delay in processing instructions, any failure by the Investor to provide the information requested may lead us to refuse to act on any instruction to open or transfer accounts, to issue or redeem any Shares, or release any monies held. We will not be liable for any movement in share prices until the money laundering requirements have been satisfied.

# Appendix 1

## Fund Privacy Notice: UK domiciled open-ended investment companies with variable capital

### Status 10/2022

Any and all information concerning the investor as an individual or any other data subject (the "Personal Data"), contained in the application form or further collected in the course of the business relationship with the Company will be processed by the Company acting through its Authorised Corporate Director of the Company as data controller (the "Controller") in compliance with the Regulation (EU) 2016/679 of 27 April 2016 (the "EU General Data Protection Regulation"), the UK GDPR which is the EU GDPR as transposed into the laws of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018 ("UK GDPR") (collectively, "GDPR") as well as any applicable law or regulation relating to the protection of personal data (collectively the "Data Protection Law").

The Controller may store on computer systems and process, by electronic or other means, personal data concerning the investors and their representative(s) (including, without limitation, legal representatives and authorised signatories), employees, directors, officers, trustees, settlors, their shareholders, and/or unitholders for, nominees and/or ultimate beneficial owner(s) (as applicable) (hereafter the "Data Subjects").

Personal Data provided or collected in connection with an investment in the Company may be processed by the Company acting through the Authorised Corporate Director of the Company and by the Depositary, the Administrator, the Distributor, the Registrar, the Auditor, legal and financial advisers and other service providers of the Company (including its information technology providers) and, any of the foregoing respective agents, delegates, affiliates, subcontractors and/or their successors and assigns (hereafter the "Service/Providers/Processors"). The Service Providers/Processors may act, in certain circumstances, as data controller, in particular for compliance with their legal obligations in accordance with applicable laws and regulations (such as anti-money laundering identification) and/or order of competent jurisdiction. Where the Service Providers/Processors act as data controller, their use and processing of the Personal Data will be subject to their respective data privacy notices or statements.

The Personal Data that may be collected and processed by or on behalf of the Controller include: name, date of birth, civil status, nationality, contact details (including postal or email address), banking details, passport or other identification document, invested amount and holdings in the Company as well as other Personal Data requested in the application form.

Personal Data are processed for the purposes of (i)

offering investments in the Company and performing the related services including, but not limited to, processing subscriptions and redemptions, managing and administering investor's holding in the Company and providing financial and other information to investors

(ii) other related services resulting from any agreement entered into between the Controller and a service provider that is communicated or made available to the investors (hereafter the "Investment Services"). Personal Data may also be processed to comply with legal or regulatory obligations including, but not limited to, legal obligations under applicable law, prevention of terrorism financing law, anti-money laundering law (such as carrying out customer due diligence), prevention and detection of crime, and tax law (such as reporting under the FATCA Law and the CRS Law). To assist in confirming identity the Controller may make searches with credit reference agencies who will supply the Controller with credit information, as well as information from other sources including the Electoral Register. The Controller may also pass information to law enforcement agencies.

In the event that a data subject is identified as a politically exposed person as a result of the customer due diligence check, the investor is may be required to provide additional information and/or documentation to the Controller or its Service Providers/Processors. Such processing, which may reveal political opinions or any trade union memberships (special category of personal data), is considered lawful on the grounds of substantial public interest permitted under GDPR.

The Controller collects, uses, stores, retains, transfers and/or otherwise processes Personal Data: (i) on the basis of investors' consent and/or; (ii) as a result of the subscription of investors to the subscription agreement where necessary to perform the Investment Services or to take steps at the request of investors prior to such subscription, including the holding of shares in general and/or; (iii) to comply with a legal or regulatory obligation of Controller or Processors and/or; (iv) in the event the subscription agreement is not entered into directly by the concerned Data Subject, Personal Data is processed for the purposes of the legitimate interests pursued by Controller, which mainly consist in the performance of the Investment Services and related services or compliance with foreign laws and regulations and/or any order of a foreign court, government, supervisory, regulatory or tax authority, including when providing such Investment Services to any beneficial owner and any person holding shares directly or indirectly in the Company.

Answering questions and requests with respect to Data Subjects' identification and shares held in the Company, FATCA and/or CRS is mandatory. Investors acknowledge

and accept that failure to provide relevant Personal Data requested by the Controller and/or the Administrator in the course of their relationship with the Company may prevent them from maintaining their shares in the Company and may be reported by the Controller and/or the Administrator to the relevant authorities. Any relevant information in relation to investor's investments in the Company will be reported to competent local authorities which will exchange this information on an automatic basis with the competent authorities in the United States or other permitted jurisdictions as agreed in the FATCA Law, CRS at OECD and EU levels or UK legislation.

Investors acknowledge that the Controller or its Service Providers/Processors may record telephone conversations for the primary purpose of providing evidence in the event of a dispute based on legitimate interests pursued by the Controller. Any such recordings shall be retained in compliance with applicable laws and regulations.

For the purposes listed above, Personal Data will be transferred to any of the aforementioned recipients and Service Providers in any jurisdiction. The Controller may transfer Personal Data outside EEA or UK (i) on the basis of an adequacy decision of the European Commission or the UK Government with respect to the protection of personal data or, (ii) on the basis of appropriate safeguards according to Data Protection Law, such as standard contractual clauses, binding corporate rules, an approved code of conduct, or an approved certification mechanism - the investors and investor-related individuals whose data may be covered by such transfer may obtain a copy of such safeguards by contacting the Company at the above contact details or, (iii) on the basis of the investor's explicit consent or, (iv) for the performance of the Investment Services or for the implementation of pre-contractual measures taken at the investors' request or, (v) for the Service Providers to perform their services rendered in connection with the Investment Services or, (vi) for important reasons of public interest or, (vii) for the establishment, exercise or defence of legal claims or, (viii) where the transfer is made from a register, which is legally intended to provide information to the public or, (ix) for the purposes of compelling legitimate interests pursued by the Controller, to the extent permitted by Data Protection Law.

Insofar as Personal Data provided by investors include Personal Data concerning other Data Subjects, investors represent that they have authority to provide Personal Data of such Data Subjects to the Controller and confirm that they have undertaken to (i) inform any such Data Subject about the processing of their Personal Data and their rights as described in this Privacy Notice, in accordance with the information requirements under the Data Protection Law and (ii) where necessary and appropriate, obtained in advance any consent that may be required for the processing of Personal Data in accordance with the requirement of Data Protection Law with regard to the validity of consent, in particular, for the transfer of Personal Data to the Authorised Recipients

located outside of the EEA or UK. The Controller may assume, where applicable, that Data Subjects have, where necessary, given such consent and have been informed of the processing and transfer of their Personal Data and of their respective data subject rights.

Each Data Subject may request (i) access to any Personal Data stored about it, including obtaining a copy of such Personal Data and further additional information about the processing pursuant to the applicable law, (ii) rectification of incorrect Personal Data, (iii) deletion of any Personal Data concerning the Data Subject if such Personal Data are no longer needed for the purposes for which they were stored, (iv) a restriction of the processing of Personal Data concerning the Data Subject to certain purposes and, (v) to receive its Personal Data for itself or another third party elected by the Data Subject in a structured, commonly used and machine readable format or to transmit those Personal Data to another controller in accordance with Data Protection Law and (vi) to obtain a copy of or access to the appropriate or suitable safeguards which have been implemented for transferring the Personal Data outside of the EEA or UK, in the manner and subject to the limitations prescribed in accordance with Data Protection Law. In particular, Data Subjects may at any time object, on request and free of charge, to the processing of their Personal Data for marketing purposes (in which case the Controller will cease the processing of such Personal Data for such purposes immediately) or for any other purpose carried out on the basis of the legitimate interests of the Controller (in which case the Controller will cease the processing if no overriding legitimate interests for the data processing exist).

In case the processing of Personal Data is based on consent, Data Subjects are entitled to withdraw their consent at any time without prejudice to the lawfulness of the processing based on consent before withdrawal.

If Data Subjects have any questions about the handling of their Personal Data, or about this Privacy Notice, or to exercise any of their rights outlined above, please use the address below:

Allianz Global Investors UK Limited, Data Protection Office, 199 Bishopsgate, London, EC2M 3TY, or alternatively email [dataprivacy@allianzgi.com](mailto:dataprivacy@allianzgi.com).

Investors are entitled to address any claim relating to the processing of their Personal Data carried out by the Controller in relation with the Investment Services to the relevant data protection supervisory authority (i.e. in UK, the Information Commissioner's Office).

The Controller will retain all information and documentation provided in relation to an investment in the Company for such period of time as may be required to provide services to the investor and as required by applicable legal and regulatory requirements. Personal data processed for AML and KYC purposes will be retained for five (5) years after the end of the contract with the investor.

## Important information

**Investing involves risk.** The value of an investment and the income from it may fall as well as rise and investors might not get back the full amount invested. Investing in fixed income instruments may expose investors to various risks, including but not limited to creditworthiness, interest rate, liquidity and restricted flexibility risks. Changes to the economic environment and market conditions may affect these risks, resulting in an adverse effect to the value of the investment. During periods of rising nominal interest rates, the values of fixed income instruments (including positions with respect to short-term fixed income instruments) are generally expected to decline. Conversely, during periods of declining interest rates, the values of these instruments are generally expected to rise. Liquidity risk may possibly delay or prevent account withdrawals or redemptions. The volatility of fund unit/share prices may be increased or even strongly increased. Past performance does not predict future returns. If the currency in which the past performance is displayed differs from the currency of the country in which the investor resides, then the investor should be aware that due to the exchange rate fluctuations the performance shown may be higher or lower if converted into the investor's local currency. This is for information only and not to be construed as a solicitation or an invitation to make an offer, to conclude a contract, or to buy or sell any securities. The products or securities described herein may not be available for sale in all jurisdictions or to certain categories of investors. This is for distribution only as permitted by applicable law and in particular not available to residents and/or nationals of the USA. The investment opportunities described herein do not take into account the specific investment objectives, financial situation, knowledge,

experience or specific needs of any particular person and are not guaranteed. The Management Company may decide to terminate the arrangements made for the marketing of its collective investment undertakings in accordance with applicable de-notification regulation. The views and opinions expressed herein, which are subject to change without notice, are those of the issuer companies at the time of publication. The data used is derived from various sources, and assumed to be correct and reliable at the time of publication. The conditions of any underlying offer or contract that may have been, or will be, made or concluded, shall prevail. For a free copy of the sales prospectus, incorporation documents, daily fund prices, Key Investor Document, latest annual and semi-annual financial reports, contact the issuer at the address indicated below or visit <https://regulatory.allianzgi.com>. Please read these documents, which are solely binding, carefully before investing.

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## The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instruction to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit Allianz Global Investors UK Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Allianz Global Investors UK 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 Allianz Global Investors UK 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 Allianz Global Investors UK 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.



**Allianz Global Investors UK Limited**

199 Bishopsgate  
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## How to contact us

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