



# South River

## Hume Funds

### Notes to Application

If you have any doubt about the suitability of this investment you should contact your Financial Adviser as Hume do not offer advice.

---

#### How to invest

Please read these notes before completing the application form(s).

---

#### Anti-money laundering regulations

If you are introduced to us by a Financial Adviser with whom the Manager, South River Guernsey Ltd., has Terms of Business, he or she will be required to take a copy of your passport and evidence of your address, such as a bank statement or recent utility bill. Your Financial Adviser will then pass this copy documentation to us, certifying its validity. See Note A (overleaf).

---

#### Which form to use

**Form A** If you are an individual applicant (including individual trustees).

---

**Form B** Corporate applicants

---

**Form C** Bank instruction letter

---

**Form D** Joint Account Holder; Sole Instructions; Permission

---

**Form E** Telephone Dealing Indemnity

---

#### Minimum investments per fund

Currencies Accepted	Initial sum	Top Up	Minimum holding
Sterling	£1,000	£500	£1,000
US Dollar	\$1,000	\$500	\$1,000
Euro	€ 1,000	€ 500	€1,000

---

#### Payment

Payments can be made via bank-to-bank transfer or a Sterling cheque.

---

#### Bank-to-bank transfer

If you are paying by bank-to-bank transfer, please complete the accompanying bank instruction letter (Form C) and return the form to your bank.

We recommend that you contact our Dealing Department before arranging a transfer. The dealers will advise you on which day your funds should be transferred into our account. Settlement by telegraphic transfer will be required by the Settlement Day.

If settlement in cleared funds has not been received by the Settlement Day, we reserve the right either to cancel the deal or to redeem shares to cover the costs we or the Custodian have incurred as a result of the late settlement.

If you do not pre-advise us of a transfer, you should let us know immediately either by telephone, by fax or in writing the details of the transfer you have arranged. If we have not been pre-adviced of the transfer, the transferred funds will be dealt into your selected fund(s) on the first dealing day after we have identified their receipt in our correspondent bank account. (If funds cannot be identified, we reserve the right to return them to their source.)

---

#### Cheque

If you are paying by cheque, please make your cheque payable to South River Guernsey Ltd. In the case of a building society cheque, the building society must identify on the cheque the holder(s) of the account and the account number from which the funds are drawn.

Your cheque must come from a bank account held in your own name.

## Notes

The notes on this section refer to the application forms

**Joint Account Holders**  
Form D

If your application form is received by us incomplete, unclear or incorrectly filled in, we will return it to you together with your cheque as we will be unable to process your application.

Please see the notes on completing the verification of client identity.

Please note that your investment will not be made until full verification of client identity has been completed.

**Telephone Dealing**  
Form E

Only complete form D if you would like the ability to redeem or switch investments on the authority of one of the holders. To accept the terms please sign and return the form with your application. All registered joint holders must sign.

To be able to deal by telephone you must accept the terms on form E. Please complete and return the form with your application to use this facility.

---

## I. Application details

### Note A

Form A  
Individual applicants  
(including individual trustees)

#### In order for a private investor to invest, we require the following:

- A fully completed application form.
- All money to be invested must be from the client's own bank account either by way of a bank-to-bank transfer or cheque. We require the full name, address and account number of this bank account. Please note that we will only accept cheques payable in Sterling drawn on a UK bank or building society.
- A copy of the passport or national identity card of each registered holder independently certified by a member of a professional body. Please see below in the section 8: "Certification".
- An original confirmation from a bank, credit card or utility company, for example a bank or credit card statement or a utility bill, to verify each registered holder's permanent residential address (within the last 3 months). This may be returned upon request.
- A telephone number or email address for each registered holder. There are circumstances when we may need to contact you to confirm instructions and, if we are unable to do so, this may result in a delay in processing your instructions.

#### In order for a corporation to invest, we require the following:

- A fully completed application form.
- All money to be invested must be from the company's own bank account either by way of a bank-to-bank transfer or cheque. We require the full name, address and account number of this bank account. Please note that we will only accept cheques payable in Sterling drawn on a UK bank or building society.
- Authorised Signatory List.

Form B  
Corporate applicants

#### Unless the company is quoted on a Recognised Stock Exchange, the following must also be provided:

- The original or a certified copy of the company's certificate of incorporation.
- Verification of the names and addresses of the Directors e.g. a copy of their passport(s), certified by a member of a professional body. In addition, an original confirmation from a bank or credit card company, for example a bank or credit card statement to verify addresses (within the last 3 months). Please see below in the section 7: "Certification".
- Verification of the names and addresses of the principal beneficiaries or controllers (as above for Directors).

PEP  
Note B

#### Politically Exposed Persons are defined as:

- (i) Heads of State or Government (ii) Senior Politicians (iii) Senior Government Officials (iv) Senior Members of the Judiciary (v) Senior Military Officers (vi) Senior Executives of State Owned Corporate Bodies

AND

- (i) Parent (ii) Spouse/Partner (iii) Child (iv) Sibling (v) Parent-in-law (vi) Grandchild (vii) Close associate of any PEP.

---

## 2. Investment details

Note C

The principal documents of Hume Funds are the Memorandum and Articles of Incorporation, the Management Agreement and the Custodian Agreement. Copies of these documents, and the Scheme Particulars and latest Report and Accounts, are available on request from South River Guemsey Ltd. In addition, the Scheme Particulars and latest Report and Accounts are available from [www.southernriveram.com](http://www.southernriveram.com)

### 3. Payment instructions

#### Note D

Applications by cheque will not be dealt until value has been obtained on the cheque from private investors. Where application is made by a financial adviser for their client or by an institution settlement must be received by the 5th business day following dealing. We regret that cheques not made out to **South River Guernsey Ltd.** cannot be accepted and will be returned at the applicant's risk.

**Cheques must be drawn upon the client's own bank account. Please note that we will only accept cheques payable in Sterling drawn on a UK bank or building society. If you are making payment by a bank-to-bank transfer you may use Form C to instruct your bank.**

**Investment is only accepted in the following currencies.**

UK Pounds	GBP
US Dollars	US\$
Euros	EUR

### 4. Bank/building society details

#### Note E

All payments due to you will only be paid to the account of the registered holder(s) below unless you expressly request otherwise in writing. Faxed instructions will not be accepted for the purpose of advising new bank or building society account details. Therefore, you should advise us in writing, at least 10 business days in advance of a proposed redemption, if you have changed your bank account or if you have not completed this section. Failure to complete this section may result in delays in paying sale proceeds. Please note that the account MUST be in the name of all registered holders. Joint accounts are required for joint holdings.

### 5. Declaration and signatures

#### Note F

#### US Persons

The Hume Funds are not registered with the SEC in the United States and thus a 'US Person' (and this category includes anyone resident in the US or any US national) is not eligible to invest in them. US nationals not resident in the US may invest in the Funds. The full definition of a 'US Person' may be found in the Scheme Particulars of the Funds.

### 6. Data protection

Any information which you provide may be held by us, or sub-contracted third parties on our behalf, and used for administration purposes and to inform you about products offered by **South River Guernsey Ltd.** Information provided by you will be held in confidence by us and will not be passed on to other product or service companies.

The use of your personal information is covered by the registration of South River Guernsey Ltd. under the Data Protection (Bailiwick of Guernsey) Law 2001.

South River Asset Management Ltd. is registered in the UK with Office of Information as a Data Controller and so is committed to safeguarding the personal information. We will only process personal information to allow us to properly administer and service your investments and other related activities which may mean disclosing your information to our associated companies, agents and other service providers.

You have the right to obtain a copy of the information held about you, for which you may be charged a fee.

### 7. Other information

Application forms should be returned to:

**Hume PCC Team, Apex Fund Services (Ireland) Ltd., South River Guernsey Ltd., 2nd Floor, Block 5, Irish Life Centre, Abbey Street Lower, Dublin, D01 P767, Ireland.**

If you have any queries please call: **+353 1 411 2949** fax: **+353 1 411 2948**  
email: **HumeTA@apexfunds.ie**

Telephone calls may be recorded.

### 8. Certification

Documents can be certified by the following individuals:

- A member of the judiciary, a senior civil servant or a serving police or customs officer; or
- An officer of an embassy, consulate or high commission of the country or territory of issue of the documentary evidence of identity; or
- A lawyer or notary public who is a member of a recognised professional body; or
- An actuary or an accountant who is a member of a recognised professional body. or
- A member of the Institute of Chartered Secretaries & Administrators; or
- A director or officer of a financial services business regulated or authorised by the Guernsey Financial Services Commission or by the Financial Conduct Authority; or
- A director or officer of a financial services business regulated in certain other countries (please check with us to ensure that the business is regulated in a recognised jurisdiction).

The suitable certifier must certify that he has seen the original documentation verifying identity or residential address and that the copy taken is a "certified true copy of an original document seen by me". The certifier must also sign and date the copy documentation and provide adequate information so that contact can be made with the certifier in the event of a query (i.e. telephone number and address).

## 9. Checklist

a. Application Form signed

c. Payment: Cheque enclosed/bank notified

b. Telephone number and email entered

d. Proof of identity and address enclosed

---

## Important Information

The information contained in this application pack is a brief summary of the features of Hume's Guernsey funds, full details of which are contained in Scheme Particulars. This application pack does not constitute either an offer to sell or a solicitation to buy and any offer Hume makes is made on the basis of the relevant Scheme Particulars. Copies of these documents can be requested by calling us on: **+353 1 411 2949** and are free of charge. Alternatively, they can be found, free of charge, on the website ([www.southernriveram.com](http://www.southernriveram.com)).

---

## Our bank list

### South River (Guernsey) Ltd

#### HSBC Bank plc

##### GBP Account

Sort Code: 40-22-25  
Account No.: 23675769  
IBAN: GB15MIDL40222523675769

##### USD Account

Sort Code: 40-05-15  
Account No.: 73306276  
IBAN: GB27MIDL40051573306276  
Correspondent Details: HSBC Banks USA – ABA: 021 001088

##### Euro Account

Sort Code: 40-05-15  
Account No.: 73306284  
IBAN: GB05MIDL40051573306284