McInroy & Wood Portfolios

Bare Trust Application Form (for a minor)

If you require assistance to complete this form, please contact our Unit Trust Team on **01620 825867**.

Notes for completion

- **Before you complete this form:** you should read up to date versions of the Key Investor Information Document (KIID) for each fund in which you want to invest. The KIID for each fund is available on our website at www.mcinroy-wood.co.uk/our-funds. You should also read the Supplementary Information Document (SID).
- Please complete in black ink and BLOCK CAPITALS and send your completed form to **McInroy & Wood Portfolios Ltd, Investor Administration, 64 St. James's Street, Nottingham, NG1 6FJ**
- We do not accept applications by, or on behalf of, US Persons, being a national, citizen or resident of the United States of America or a corporation or partnership organised under the laws of the United States of America or having a principal place of business in the United States of America
- All Applicants must sign and date section **H – Declaration and signature of Applicants**
- This form can be used to make a gift to a child. The gift will be held in an investment account under bare trust
- This means that the child is entitled to both the income and the capital, irrespective of their age, and can gain access to the units when they turn 18 years old
- The investment account will be registered in the name of the trustees (Applicants) of the bare trust
- The person making the gift to the child (the donor), can be the trustee however does not require to be
- Regulations require us to record the name, address and tax residency of the trust. Its name will be that of the child, and its address and tax residency will be that of the trustee
- It is the responsibility of the trustees to satisfy themselves with regard to any tax implications and obligations to report to HMRC under the Trust Registration Service.

A – Trustees (Applicants)

FIRST TRUSTEE

Title Surname Forename(s)

Permanent residential address

Postcode

Daytime telephone number Email Address

Date of birth

D D M M Y Y Y Y

I consent to McInroy & Wood using my personal information to keep in touch and to send me other information which may be of interest, such as 'occasional articles' and information about events. For more information see section **G – Keeping you informed**.

Please tick box to confirm: ☐

SECOND TRUSTEE

Title Surname Forename(s)

Permanent residential address

Postcode

Daytime telephone number Email Address

Date of birth

D D M M Y Y Y Y

I consent to McInroy & Wood using my personal information to keep in touch and to send me other information which may be of interest, such as 'occasional articles' and information about events. For more information see section **G – Keeping you informed**.

Please tick box to confirm: ☐

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If there are more than two trustees (up to a maximum of four), they must complete section **L – Additional Trustees.** All trustees must sign section **H – Declaration and signature of Applicants.**

B – Tax residency

Tax regulations require us to collect certain information about each applicant's tax arrangements. We may be legally obliged to share this information with relevant tax authorities. If you have any questions about how to complete this section, please contact your tax adviser.

FIRST APPLICANT			SECOND APPLICANT		
UK tax resident	*Tick*	**National Insurance No.**	**UK tax resident**	*Tick*	**National Insurance No.**

If you are also tax resident in other jurisdictions or not a UK tax resident, please complete **all** countries in which you are resident for tax purposes, including the associated Tax Reference Numbers.

Countries of Tax Residency	Tax Reference No.	Countries of Tax Residency	Tax Reference No.
If you are not tax resident in any country please tick this box ☐		If you are not tax resident in any country please tick this box ☐	

If you are resident for tax purposes in more than four countries, please use section **K – Additional information.**

Notes:

- The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implement the Foreign Account Tax Compliance Provisions of the US HIRE Act and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information
- 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 advisor.

C – Details of the child for whom you are investing

Title | Surname | Forename(s)

Permanent residential address (if different to Trustee)

Postcode

Daytime telephone number | Email Address

Date of birth D D M M Y Y Y Y | National Insurance number | If the child does not have a National Insurance number please tick the box ☐

Is the child a UK National only? *(please tick box)* ☐ Is the child a UK National and National of one or more other countries? *(please tick box and list countries below)* ☐

Is the child a National of Non-UK countries only? *(please tick box and list countries below)* ☐

Nationality 1 | Nationality 2

Nationality 3 | Nationality 4

2. Documentation

- Please supply a certified true copy of the child's birth certificate or passport.

Note: Documents must be certified by a regulated or professional person. The certifier should:

- include the wording "Certified a true copy – original seen"
- use an official stamp quoting company name and address
- sign and clearly print their name and enter the date of certification
- indicate their position/qualification and the name of their regulating body, if any.

Failure to supply certified copies of the documents requested is likely to delay your application.

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D – Please select the funds in which you wish to invest (lump sum and/or monthly saving) and how you want any income to be treated.

We instruct McInroy & Wood Portfolios Ltd to purchase units in accordance with the following instructions at the next valuation point following receipt of this application form:

Fund	SEDOL *(for office use)*	Lump Sum Amount *(minimum initial investment amount £1,000 per fund)*	Monthly Saving Amount *(minimum £100 per fund)*	Income *Please tick as appropriate*	
				Re-invest	**Remit to bank account**
MW Balanced Fund Personal Class	B7RRJ16	£	£		
MW Income Fund Personal Class	B8KQRW4	£	£		
MW Smaller Companies Fund Personal Class	B8NC4D9	£	£		
MW Emerging Markets Fund Personal Class	B7SKS40	£	£		
TOTAL		**£**	**£**		

If you do not tick either option, your income will be reinvested.

E – Bank details and payment methods

Payment is required prior to dealing and can be made by electronic transfer or submitting a cheque with the completed application form. For UK anti-money laundering purposes, we require the Applicant's bank account details. This must be the account from which payment for the units is being made, whether by electronic transfer, direct debit or cheque. We will pay the proceeds from the sale of units and any income distributions to this account. We may verify your bank account details electronically before making any settlement or distribution payments to it. We cannot make payments to a third party.

Account Name

Bank/Building Society Name

Address

Postcode

Sort Code

Account Number

Please tick all applicable payment methods and complete the relevant sections 1 to 4 below.

1.	**Electronic**		3.	**Cheque**	
2.	**Direct debit (regular savings only)**		4.	**Gift**	

Note: Any bank charges we incur in relation to receipt of funds by any of the payment methods noted above will be netted off the amount invested (shown in section D).

1. **Electronic payments:** Please note that McInroy & Wood is unable to make a collection from your account and you must instruct your bank to transfer payment to us prior to dealing. Please send electronic payments with your name as the payment reference to the following account:

   Account Name: McInroy & Wood Portfolios Ltd Client Money Account
   Account Number: 44024819
   Sort Code: 60-00-01

2. **Direct debit:** The following mandate must be completed **only** if you would like to make monthly savings payments. Direct debits are collected on the 1st of the month.

3. **Cheque:** Please make the cheque payable to "McInroy & Wood Portfolios Ltd". The cheque must be drawn on your account detailed above.

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McInroy & Wood Portfolios

DIRECT Debit

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

Please complete this direct debit instruction and send it to:

McInroy & Wood Portfolios Ltd
Investor Administration
64 St. James's Street,
Nottingham
NG1 6FJ

Service user number

2	9	5	0	9	4

Name(s) of account holder(s)

Reference

Bank/building society account number

Branch sort code

Instruction to your bank or building society
Please pay McInroy & Wood Portfolios Ltd 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 McInroy & Wood Portfolios Ltd and, if so, details will be passed electronically to my bank/building society.

Name and full postal address of your bank or building society

To: The Manager Bank/building society

Address

Postcode

Signature(s)

Date

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

A copy of this guarantee is available on our website in the Supplementary Information Document.

The Direct Debit Guarantee

DIRECT Debit

- 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 McInroy & Wood Portfolios Ltd will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request McInroy & Wood Portfolios Ltd 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 McInroy & Wood Portfolios Ltd 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 McInroy & Wood Portfolios Ltd 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.

4 – Gifting: Details of the donor or investor (if not the Trustee)

If someone other than a Trustee is purchasing units (by electronic transfer, cheque and/or direct debit), they must complete this section with their details.

GIFTER'S PERSONAL DETAILS

Full Name

Address

Postcode

Date of Birth D D M M Y Y Y Y

For UK anti-money laundering legislation, the gifter must provide their bank account details. This must be the account from which payment for the units is being made. We may use an electronic data source to verify their identity and residence. For more information see section **F - Using your personal information.**

GIFTER'S BANK DETAILS

Account Name

Bank/Building Society Name

Address

Postcode

Sort Code

Account Number

As gifter, I consent to McInroy & Wood using my personal information to keep in touch and to send me other information which may be of interest, such as 'occasional articles' and information about events. For more information see section **G – Keeping you informed**

Please tick the box to confirm: ☐

Signed

Date D D M M Y Y Y Y

F – Using your personal information

The personal information which you provide within this application form will be stored and used to help administer your investment in the fund(s). This may include the transfer of your personal information to our business partners and service providers, who assist in the administration of the funds. Their processing facility may be located outside the European Economic Area.

The processing of your personal information will be carried out in accordance with our group's Privacy Policy, which you can access at the foot of the homepage on our website (www.mcinroy-wood.co.uk). Please read our Privacy Policy as it sets out your rights with respect to any personal information we collect from or about you and explains in more detail how we use that information to administer your investment.

G – Keeping you informed

We would like to use your personal information to enable us to keep in touch and to send you other information which we think may be of interest to you. Such information could include our 'occasional articles' and information about events we hold. Personal data may be shared with our holding company, McInroy & Wood Ltd. Under data protection legislation we require your explicit consent to use your personal information for these purposes. If you would like us to keep you informed in this way, please tick the box next to your personal details.

Continued overleaf.../

Please note that if you consent to receive the articles and other such information, you may withdraw your consent at any time by emailing **MWPortfolios@mcinroy-wood.co.uk** or telephoning the Unit Trust Team on **01620 825867**. For the avoidance of doubt, once you have ticked the box, this consent will apply to all investments held with us.

H - Declaration and signature of Applicants (to be signed by all Applicants)

1. I have read a current copy of Supplementary Information Document and the Key Investor Information Document(s) of the fund(s) in which I wish to invest and confirm that I am familiar with the features of the funds as described in the Key Investor Information Documents.
2. I am over 18 years of age.
3. I acknowledge that by completing and returning this form to McInroy & Wood Portfolios Ltd, I am entering into a binding contract.
4. I acknowledge that I am considered as an execution-only client by McInroy & Wood Portfolios Ltd. I confirm that I have received no advice from that company or any of its associates or representatives regarding the merits or suitability of this investment. Where I am a non-UK resident, I confirm that this application to invest has not been solicited by McInroy & Wood.
5. I understand that an electronic data source may be used in order to verify my identity and residence for the purpose of complying with UK anti-money laundering legislation and further proof of identity may be requested.
6. I acknowledge that **failure to settle** a purchase of units will constitute a contractual breach and entitle McInroy & Wood Portfolios Ltd to hold me liable for any loss sustained by the manager as a consequence of cancellation and any fall in the price of units concerned. Further, I acknowledge that upon notification of a bounced cheque, I shall be required to make payment electronically.
7. I am not a US person nor am I applying for units on behalf of a US person, nor am I applying for units to further offer, sell or transfer such units directly or indirectly to US persons, being a national, citizen or resident of the United States of America.
8. Unless I have supplied further details in section **K – Additional Information**, I am not a politically exposed person (PEP) or a family member or a known close associate of a PEP.
9. I acknowledge that it is the responsibility of the trustees to satisfy themselves with regard to any tax implications and obligations to report to HMRC under the Trust Registration Service.
10. I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete, and I will inform promptly of any changes to information provided.

(1) Signature

Date

D	D	M	M	Y	Y	Y	Y

(2) Signature

Date

D	D	M	M	Y	Y	Y	Y

(3) Signature

Date

D	D	M	M	Y	Y	Y	Y

(4) Signature

Date

D	D	M	M	Y	Y	Y	Y

Continued overleaf.../

I – Financial Advisor

Tick one box

I/We confirm that the Applicant are entitled to cancellation rights under the FCA Conduct of Business rules ☐

I/We confirm that the Applicant is **not** entitled to cancellation rights under the FCA Conduct of Business rules ☐

I/We hereby indemnify McInroy & Wood Portfolios Ltd for any losses suffered should it be discovered that the Applicant was entitled to cancellation rights and no cancellation notice was sent. ☐

To be completed by the advisor if applicable.

Advisor's name

Agency Code

Advisor's Address

Postcode

FCA Registration No. :

Advised Deal (yes/no) :

Signature

Date

D D M M Y Y Y Y

J – Checklist

Before returning your application form, please ensure that:

☐ all relevant sections have been completed correctly and signed.

☐ your electronic payment has been instructed (using your name as a reference) or you have enclosed a cheque made payable to "McInroy & Wood Portfolios Ltd".

☐ the completed form and cheque (if applicable) are posted to McInroy & Wood Portfolios Ltd, Investor Administration, 64 St. James's Street, Nottingham, NG1 6FJ

☐ you have ticked the relevant income column in section **D – Fund selection**. If you do not tick either option, your income will be reinvested.

☐ for regular monthly contributions, you have completed and signed section **E 2 – Direct debit mandate**.

☐ you have read section **G – Keeping you informed** and confirmed or otherwise your consent as requested.

☐ you have signed section **H – Declaration and signature of Applicants**

K – Additional information

Continued overleaf.../

K – Additional Trustees

THIRD TRUSTEE

Title	Surname	Forename(s)

Permanent residential address

	Postcode	

Daytime telephone number	Email Address

Date of birth

D	D	M	M	Y	Y	Y	Y

I consent to McInroy & Wood using my personal information to keep in touch and to send me other information which may be of interest to me, such as 'occasional articles' and information about events. For more information see section **G – Keeping you informed**.

Please tick box to confirm: ☐

FOURTH TRUSTEE

Title	Surname	Forename(s)

Permanent residential address

	Postcode	

Daytime telephone number	Email Address

Date of birth

D	D	M	M	Y	Y	Y	Y

I consent to McInroy & Wood using my personal information to keep in touch and to send me other information which may be of interest to me, such as 'occasional articles' and information about events. For more information see section **G – Keeping you informed**.

Please tick box to confirm: ☐

THIRD APPLICANT			**FOURTH APPLICANT**		
UK tax resident	*Tick*	**National Insurance No.**	**UK tax resident**	*Tick*	**National Insurance No.**

If you are also tax resident in other jurisdictions or not a UK tax resident, please complete **all** countries in which you are resident for tax purposes, including the associated Tax Reference Numbers.

Countries of Tax Residency	**Tax Reference No.**	**Countries of Tax Residency**	**Tax Reference No.**
Please tick this box **if you are not tax resident in any country**. ☐		Please tick this box **if you are not tax resident in any country**. ☐	

If you are resident in more than four countries, please use section **K – Additional information.**

McInroy & Wood Portfolios Ltd, Investor Administration, 64 St. James's Street, Nottingham, NG1 6FJ
Tel: +44 (0)1620 825867