



# McInroy & Wood Portfolios

## Individual Application Form (Non ISA Investments)

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, as well as the Supplementary Information Document (SID). The KIID for each fund, SID and other documents are available on our website at [www.mcinroy-wood.co.uk/our-funds](http://www.mcinroy-wood.co.uk/our-funds).
- 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.
- Units can be registered in the names of up to four applicants, but we shall take instruction from, and address all communications to, the FIRST APPLICANT ('you'). All applicants will be deemed to be the beneficial owners.
- All applicants must be at least 18 years of age.
- If you wish the investment to be a gift to a minor please complete our **Bare Trust Application Form**. Alternatively, if you wish to retain ownership of the units but designate the account please complete the designation box at the end of section **A – Personal details**.
- If someone else is purchasing units on behalf of the applicant they must complete section **D4 – Gifting**.
- All applicants must sign and date section **G – Declaration and signature of Applicants**.

### A – Personal details

#### FIRST APPLICANT

Title	Surname	Forename(s)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address

<input type="text"/>	Postcode	<input type="text"/>
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Daytime telephone number	Email Address
<input type="text"/>	<input type="text"/>

Date of birth

D	D	M	M	Y	Y	Y	Y
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I consent to McInroy & Wood Portfolios Ltd and its parent company McInroy & Wood Ltd (together "McInroy & Wood") using my personal data 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 **F – Keeping you informed**. Please tick box to confirm:

#### SECOND APPLICANT

Title	Surname	Forename(s)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address

<input type="text"/>	Postcode	<input type="text"/>
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Daytime telephone number	Email Address
<input type="text"/>	<input type="text"/>

Date of birth

D	D	M	M	Y	Y	Y	Y
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I consent to McInroy & Wood Portfolios Ltd and its parent company McInroy & Wood Ltd (together "McInroy & Wood") using my personal data 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 **F – Keeping you informed**. Please tick box to confirm:

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

**DESIGNATION BOX (optional) Maximum 30 characters**

<b>Designation</b> (if applicable*) <i>If you intend making a gift to a minor, you should complete our Bare Trust Application Form</i>	
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\*If you wish to open a second or subsequent account with identical registration details, a designation is required to differentiate between such accounts. Designation must take number or letter format (not name) for example Account: 123XYZ

**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 <b>all</b> 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 <input type="checkbox"/>			If you are not tax resident in any country please tick this box <input type="checkbox"/>		

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

**Notes:**

- The term "tax regulations" refers to the laws and regulations regarding tax reporting that apply to Mclnroy & Wood, such as 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 adviser.

**C – Please select the funds in which you wish to invest (lump sum and/or monthly saving) and how you want us to treat any income generated by your investments.**

I instruct Mclnroy & 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	Lump Sum Amount <i>(minimum initial investment amount £1,000 per fund)</i>	Monthly Saving Amount <i>(minimum £100 per fund)</i>	Income <i>Please tick as appropriate*</i>	
				Re-invest	Distribute to my 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	£	£		
<b>TOTAL</b>		£	£		

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

**If you have received advice from a financial advisor relating to this investment, please ensure that your advisor completes section H.**

**D – 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 your bank account details. Unless someone else is purchasing the units for you, 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 can only make payments to you or another applicant.

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.	<b>Electronic</b>		3.	<b>Cheque</b>	
2.	<b>Direct debit (regular savings only)</b>		4.	<b>Gift</b>	

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

**1. Electronic payments:** Please note that Mclnroy & 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: Mclnroy & Wood Portfolios Ltd Client Money Account

Account Number: 44024819

Sort Code: 60-00-01

**2. Direct debit mandate:** The mandate (page 8) must be completed 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 "Mclnroy & Wood Portfolios Ltd". Unless someone else is purchasing the units for you, the cheque must be drawn on your account detailed above.

**4. Gifting:** If someone else is purchasing units for you, in your name as a gift, (by electronic transfer, cheque and/or direct debit), they must complete their details on the next page.

**GIFTER'S NAME AND ADDRESS**

Full Name

Address

 Postcode 

Date of Birth 

D	D	M	M	Y	Y	Y	Y
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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. For more information see section **E – Using your personal information**.

**GIFTER'S BANK DETAILS**

Account Name

Bank/Building Society Name

Branch

Sort Code

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Account Number

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As gifter, I consent to Mclnroy & Wood using my personal information to keep in touch and to send me other information which may be of interest to me, such as your occasional articles and information about your events.

For more information see section **F – Keeping you informed**.

Please tick box to confirm:

Signed

Date

D	D	M	M	Y	Y	Y	Y
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**E – 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 Mclnroy & Wood's Privacy Policy, which you can access at the foot of our homepage on our website ([www.mcinroy-wood.co.uk](http://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.

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**F – 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, Mclnroy & 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.

Please note that if you consent to receive the articles and such other information, you may withdraw your consent at any time by emailing **MWPportfolios@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.

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## G – Declaration and signature of Applicants (to be signed by all Applicants)

1. I have read a current copy of the Key Investor Information Document(s) of the fund(s) in which I wish to invest and the Supplementary Information Document 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 and acknowledge that I am the beneficial owner of the units.
3. I acknowledge that by completing and returning this form to Mclnroy & Wood Portfolios Ltd, I am entering into a binding contract.
4. I acknowledge that it is my decision that this fund or these funds are suitable for me. I confirm that I have received no advice from Mclnroy & Wood 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 Mclnroy & 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 understand that Mclnroy & Wood Portfolios can only purchase units for me after my cash has been received. I acknowledge that it is my responsibility to ensure payment is carried out on time. 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 a US person, being a national, citizen or resident of the United States of America.
8. Unless I have supplied further details in section **I – Additional information**, I am not a politically exposed person (PEP) or a family member or a known close associate of a PEP.
9. I declare that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete, and I will inform you promptly of any changes to information provided.

(1) Signature

Date

D	D	M	M	Y	Y	Y	Y
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(2) Signature

Date

D	D	M	M	Y	Y	Y	Y
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(3) Signature

Date

D	D	M	M	Y	Y	Y	Y
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(4) Signature

Date

D	D	M	M	Y	Y	Y	Y
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### Checklist

Before returning your application form, please ensure that:

- all relevant sections have been completed correctly and signed. Any designations must be less than 30 characters.
- your electronic payment has been instructed (using your name as a reference) or you have enclosed a cheque made payable to "Mclnroy & Wood Portfolios Ltd".
- the completed form and cheque (if applicable) are posted to Mclnroy & Wood Portfolios Ltd, Investor Administration, 64 St. James's Street, Nottingham, NG1 6FJ.
- you have ticked the relevant income column in section **C - Fund selection**. If you do not tick either option, your income will be reinvested.
- for regular monthly contributions **only**, you have completed and signed the **Direct debit mandate** (page 8).
- you have read section **F - Keeping you informed** and **E - Using your personal information** and confirmed or otherwise your consent as requested.
- you have signed section **G - Declaration and signature of Applicants**.

**H – To be completed by financial advisors only**

Tick one box

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

I/We confirm that the applicants are **not** entitled to cancellation rights under the FCA Conduct of Business rules

I/We hereby indemnify Mclnroy & 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
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**I – Additional information**

**J – Additional Applicants**

**THIRD APPLICANT**

Title  Surname  Forename(s)

Permanent residential address  
  
 Postcode

Daytime telephone number  Email Address

Date of birth  

D	D	M	M	Y	Y	Y	Y
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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 **F – Keeping you informed.**

Please tick box to confirm:

**FOURTH APPLICANT**

Title  Surname  Forename(s)

Permanent residential address  
  
 Postcode

Daytime telephone number  Email Address

Date of birth  

D	D	M	M	Y	Y	Y	Y
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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 **F – Keeping you informed.**

Please tick box to confirm:

THIRD APPLICANT			FOURTH APPLICANT		
UK tax resident	<i>Tick</i>	National Insurance No.	UK tax resident	<i>Tick</i>	National Insurance No.
If you are also tax resident in other jurisdictions or not a UK tax resident, please complete <b>all</b> 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.		
<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"/>	<input type="text"/>	<input type="text"/>		
Please tick this box if you are not tax resident in any country. <input type="checkbox"/>			Please tick this box if you are not tax resident in any country. <input type="checkbox"/>		

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



# McInroy & Wood Portfolios

Please complete this direct debit instruction and send it to:

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

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

Name(s) of account holder(s)


Service user number

2	9	5	0	9	4
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Reference

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Bank/building society account number

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**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.

Branch sort code

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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



- 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.