McInroy & Wood Portfolios

Pension Scheme Application Form

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/mw-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 for, 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
- The Applicant must sign and date section **E – Declaration and signature of Applicant.**

A – Registered Personal Pension Scheme, Registered Occupational Pension Scheme, Self-Invested Personal Pension ('SIPP') or Small Self-Administered Scheme ('SSAS') (the Applicant)

1. **Registration details:** The units will be registered in the name of the Pension Scheme.

Full legal name of the pension scheme

Registered address

Postcode

Principal business address if different to above

Postcode

Country of incorporation

Pension Scheme Tax Reference (PSTR) number / HMRC reference number

Account designation (if required) ***Maximum 30 characters***

If investing on behalf of an occupational pension scheme, please confirm the name of the employer or company the scheme is linked to:

Please select the type of pension you are investing for:

☐ Registered Personal Pension Scheme

☐ Registered Occupational Pension Scheme

☐ SIPP

☐ SSAS

2. **Beneficial Owners:** For anti-money laundering purposes we are required to hold further information with regard to the individual role type for each beneficial owner of the pension scheme.

Units can be registered in the names of up to four trustees (or equivalent). Please tick as appropriate and complete the section below for each beneficial owner.

☐ **Trustee or equivalent, including corporate trustees** ☐ **Director or equivalent** ☐ **Scheme Beneficiary(ies)**

Title Surname Forename(s)

Address

Postcode Date of birth D D M M Y Y Y Y

☐ **Trustee or equivalent, including corporate trustees** ☐ **Director or equivalent** ☐ **Scheme Beneficiary(ies)**

Title Surname Forename(s)

Address

Postcode Date of birth D D M M Y Y Y Y

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Title Surname Forename(s)

Address

Postcode Date of birth D D M M Y Y Y Y

Please provide any additional details on a separate page.

3. **Documentation**

- Please supply an authorised signatory list with this application form. Two authorised signatories are required on any instructions received for dealing and registration
- Please supply a certified true copy of proof of HMRC or pensions regulator scheme approval
- If any of the trustees noted above are corporate trustees, please provide details of the name, address and date of birth of all beneficial owners of the corporate trustee. This should include any persons holding an interest of 25% or more or otherwise exercising control. Please also provide an organisational structure chart setting out the ownership control structure of those trustees and a certified copy of the corporate trustee's articles of association and certificate of incorporation.
- Please note that, in processing your application, we may request further documentation as required.

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

- 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.

B – 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.

C – 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 3 below.

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

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 B).

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.

McInroy & Wood Portfolios

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

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

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.

D 1 – Using your personal information

The personal information which you provide within this application form will be stored and used to help administer the entity's 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 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.

D 2 – 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 signature below.

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.

E – Declaration and signature of Applicant

1. We have read a current copy of the Supplementary Information Document and the Key Investor Information Document(s) of the fund(s) in which we wish to invest and confirm that we are familiar with the features of the fund(s) as described in the Key Investor Information Documents.
2. We acknowledge that by completing and returning this form to McInroy & Wood Portfolios Ltd, we are entering into a binding contract.
3. We acknowledge that we are considered as an execution-only client by McInroy & Wood Portfolios Ltd. We confirm that we have received no advice from that company or any of its associates or representatives regarding the merits or suitability of this investment. Where we are a non-UK resident, we confirm that this application to invest has not been solicited by McInroy & Wood.
4. We understand that an electronic data source may be used in order to verify the identity and residence of the beneficial owners for the purpose of complying with UK anti-money laundering legislation.
5. We acknowledge that **failure to settle** a purchase of units will constitute a contractual breach and entitle McInroy & Wood Portfolios Ltd to hold us liable for any loss sustained by the manager as a consequence of cancellation and any fall in the price of units concerned. Further, we acknowledge that upon notification of an unpaid cheque, we shall be required to make payment electronically.
6. We are not US persons nor are we applying for units on behalf of a US person nor are we applying for units to further offer, sell of transfer such units directly or indirectly to a US person, being a national, citizen or resident of the United States of America.
7. We are not politically exposed persons (PEPs) or a family member or a known close associate of a PEP.
8. We declare that the information provided in this form is, to the best of our knowledge and belief, accurate and complete, and we will inform McInroy and Wood Portfolios Ltd you within 14 days if the information on this form changes.

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 your events, as described in section **D 2 – Keeping you informed**.

(1) Signature	Date	*Please tick the box to confirm:*
	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	☐

Please refer to the checklist at the end of the form for payment details.

F – Checklist

Before returning your application form, please ensure that:

- ☐ all relevant sections have been correctly completed.
- ☐ 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 relevant supporting documentation has been included.
- ☐ 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 **B – Fund Selection**. If you do not tick either option, your income will be reinvested.
- ☐ for regular monthly contributions **only**, you have completed and signed section **C 2 – Direct Debit mandate.**
- ☐ you have read section **D 1 – Using your personal information** and **D 2 – Keeping you informed** confirmed or otherwise your consent as requested.
- ☐ the Applicant has signed section **E – Declaration and signature of Applicant.**

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