



McInroy & Wood Portfolios

Trust 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 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 be at least 18 years of age
- All Applicants must sign and date section **F – Declaration and signature of Applicants**
- 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 (the Applicants)

1. Registration details: The units will be registered in the names of up to four trustees.

Full name of the trust

Nature and purpose of the trust

Country of establishment

Name, address and date of birth of the trustees in whose names the units are to be registered as trustees of the above named trust (please note, we shall take instructions from, and address all communications to the FIRST NAMED TRUSTEE)

1.

Postcode Date of birth

2.

Postcode Date of birth

3.

Postcode Date of birth

4.

Postcode Date of birth

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 a trust.

Please tick as appropriate and complete the section below for each beneficial owner.

<input type="checkbox"/> Settlor	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Controller	<input type="checkbox"/> Protector
Title	Surname	Forename(s)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Address			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>	Postcode	<input type="text"/>	Date of birth

<input type="checkbox"/> Settlor	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Controller	<input type="checkbox"/> Protector
Title	Surname	Forename(s)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Address			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>	Postcode	<input type="text"/>	Date of birth

<input type="checkbox"/> Settlor	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Controller	<input type="checkbox"/> Protector
Title	Surname	Forename(s)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Address			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>	Postcode	<input type="text"/>	Date of birth

<input type="checkbox"/> Settlor	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Controller	<input type="checkbox"/> Protector	
Title	Surname	Forename(s)		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
Address				
<input type="text"/>				
<input type="text"/>				
<input type="text"/>	Postcode	<input type="text"/>	Date of birth	<input type="text"/>

Please provide any additional details on a separate page.

3. Documentation

- Please supply a certified true copy of the trust deed confirming the information at both 1. and 2. above and documentation supporting any subsequent changes, such as deeds of appointment or retirement of trustees.
- If any of the trustees noted above are corporate trustees, please provide a certified copy of the corporate trustee's articles of association and certificate of incorporation.

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. We may request additional verification on processing 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 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 <i>(for office use)</i>	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	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 Applicants 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 Mclnroy & Wood is unable to make a collection from your account and you must instruct your bank to transfer payment to us. 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:** 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 "Mclnroy & Wood Portfolios Ltd". The cheque must be drawn on your account detailed above.



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

We shall send you a copy of this guarantee following receipt.

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, 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 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 **MWPorfolios@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 – International Tax Compliance Regulations

We are required to collect information from Entity and Individual investors to determine your classification under International Tax Regulations. Please complete the relevant sections in full and provide any additional information that is requested. Further guidance notes and definitions are available on our website at www.mcinroy-wood.co.uk. Please note that in certain circumstances, including if we do not receive correctly completed self-certification details, we may be obliged to share details of your account with HMRC. In some cases, we may refuse your investment.

If your tax residency changes in the future, please ensure that you advise us of this change promptly. Please note that Mclnroy & Wood Portfolios Ltd is not authorised to provide tax advice. If you have any questions about your tax residency or classification you should contact a qualified tax adviser.

If you certify that you are resident for tax purposes in a country other than the United Kingdom you must also state your relevant tax reference number.

Entity Classification

Please state the country of your Entity's incorporation/organisation		
Please state the country in which your Entity is resident for tax purposes		
Is your Entity a Specified Person in this country <i>Please tick as appropriate</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

NB: If your Entity is resident for tax purposes in more than one jurisdiction you must complete a copy of this section for each jurisdiction.

Is your Entity:

Please tick as appropriate

A Financial Institution (FI)	<input type="checkbox"/>	(Complete Section E 1)
A Non-Financial Entity (NFE)	<input type="checkbox"/>	(Complete Section E 2)

E 1 – Financial Institutions (FI)

If your Entity has registered as a Financial Institution or as a Sponsored Investment Entity, please provide its Global Intermediary Identification Number (GIIN)

GIIN – – –

If your Entity is a Sponsored Investment Entity, please also provide the **Sponsoring Entity's** name and GIIN

Name

GIIN – – –

Is your entity:

Please tick as appropriate

A	A United Kingdom Financial Institution or a Partner Jurisdiction Financial Institution	
B	A Registered Deemed Compliant Financial Institution	
C	A Certified Deemed Compliant Financial Institution	
D	A Participating Financial Institution	
E	A Non-Participating Financial Institution	
F	An exempt Beneficial Owner	
G	Other (Please tell us your classification if not listed above)	

E 2 – Non-Financial Entities (NFE)

Is your entity:

Please tick as appropriate

A	An Active NFE	
B	A Passive NFE	

Passive NFEs are required to identify each of its Controlling Persons. Please tick one of the following statements of declaration:

Please tick as appropriate

I certify that the Entity identified on this self-certification form has no Controlling Persons	
I certify that the Entity identified on this self-certification form has provided all the required details of its controlling Persons*	

* If you tick this box, please confirm the names of each of the Entity's Controlling Persons and include a Controlling Persons' Self-Certification Form for each of them.

Name: Name:

Name: Name:

F – 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 confirm that I am familiar with the features of the fund(s) as described in the Key Investor Information Documents.
2. I acknowledge that by completing and returning this form to Mclnroy & Wood Portfolios Ltd, I am entering into a binding contract.
3. I acknowledge that I am considered as an execution-only client by Mclnroy & 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 Mclnroy & Wood.
4. 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.
5. I acknowledge that **failure to settle** a purchase of units will constitute a contractual breach and entitle Mclnroy & 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 an unpaid cheque, I shall be required to make payment electronically.
6. I am not a US person and none of the beneficiaries under the trust are US persons 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.
7. I am not a politically exposed person (PEP) or a family member or a known close associate of a PEP.
8. I acknowledge 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.
9. 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 Mclnroy & Wood Portfolios Ltd 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**.

(1) Signature

Date

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Please tick the box to confirm:

(2) Signature

Date

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(3) Signature

Date

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(4) Signature

Date

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

G – Checklist

Before returning your application form, please ensure that:

- all relevant sections have been completed correctly
- the relevant supporting documentation has been included.
- 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 **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 **C2 - Direct Debit mandate**.
- you have read section **D1 - Using your personal information** and **D2 - Keeping you informed** and confirmed or otherwise your consent as requested.
- all applicants have signed section **F - Declaration and signature of Applicant**.

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

Tel: +44 (0)1620 825867

Registered in Scotland No. 116351. Registered Office: Easter Alderston, Haddington, East Lothian, EH41 3SE UK

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