

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 as well as the Supplementary Information Document (SID). The KIID for each fund, SID, and other documents are available on our website
- Please complete in black ink and BLOCK CAPITALS and send your completed form to **McInroy & Wood, Investor Administration, PO Box 401, Darlington DL1 9UW. We do not accept forms by email**
- 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 and be trustees of the Trust named below
- 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
- We are legally obliged to verify the identities of all beneficial owners of the Trust for anti-money laundering purposes. We will initially aim to do this using electronic verification sources. However, we will use any information we obtain in this way only for verification of identity and not for any other purpose
- Verification checks may fail due to a variety of factors. To avoid us having to reject your application if the electronic verification checks are not successful, we request that you provide evidence, for all beneficial owners, of identity and address as laid out in the 'Documentation Guidance' that can be found at the end of this form
- We reserve the right to request further information and documents from you following receipt of the forms and initial documents
- If we are unable to verify the identity and address of all applicants we will not be able to process your application and investments will not be made

A – Applicants

1. Registration details: The units will be registered in the names of up to four Applicants, who must be trustees of the Trust.

Full name of the trust (the 'Trust')

Nature and purpose of the Trust

Country of establishment

We require details of all Applicants and any additional trustees of the Trust for anti-money laundering verification purposes. The units will be registered in the names of the first four named trustees.

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

1 - First Trustee

Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Countries of tax residency

Tax identification number

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation

I have included proof of personal address documentation

(see Section (I) for guidance on acceptable documentation).

2 - Second Trustee

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Countries of tax residency

Tax identification number

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation

I have included proof of personal address documentation

(see Section (I) for guidance on acceptable documentation).

3 - Third Trustee

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Countries of tax residency

Tax identification number

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation

I have included proof of personal address documentation

(see Section (I) for guidance on acceptable documentation).

4 - Fourth Trustee

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Countries of tax residency

Tax identification number

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation

I have included proof of personal address documentation

(see Section (I) for guidance on acceptable documentation).

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.

Settlor **Trustee not already named in Section A. 1** **Beneficiary** **Controller** **Protector**

Title Surname Forename(s)

Address

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Anti-money laundering verification (please tick):
 I have included proof of personal identity documentation
 I have included proof of personal address documentation
(see Section (I) for guidance on acceptable documentation).

Settlor **Trustee not already named in Section A. 1** **Beneficiary** **Controller** **Protector**

Title Surname Forename(s)

Address

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Anti-money laundering verification (please tick):
 I have included proof of personal identity documentation
 I have included proof of personal address documentation
(see Section (I) for guidance on acceptable documentation).

Settlor **Trustee not already named in Section A. 1** **Beneficiary** **Controller** **Protector**

Title Surname Forename(s)

Address

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Anti-money laundering verification (please tick):
 I have included proof of personal identity documentation
 I have included proof of personal address documentation
(see Section (I) for guidance on acceptable documentation).

Settlor **Trustee not already named in Section A. 1** **Beneficiary** **Controller** **Protector**

Title Surname Forename(s)

Address

 Postcode Date of birth

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Anti-money laundering verification (please tick):
 I have included proof of personal identity documentation
 I have included proof of personal address documentation
(see Section (I) for guidance on acceptable documentation).

Please provide any additional details on a separate page.

*The beneficial owners are: the settlor; the trustees; the beneficiaries; and any individual who exercises control over Trust e.g. a trust protector, if there is one.

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.

Please refer to section (l) for guidance on acceptable documentation.

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)

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 | Class | Lump Sum Amount (minimum £500 per fund) | Monthly Saving Amount (minimum £100 per fund) |
|---------------------------|-------|--|--|
| MW Balanced Fund | Acc | | |
| | Inc | | |
| MW Income Fund | Acc | | |
| | Inc | | |
| MW Smaller Companies Fund | Acc | | |
| | Inc | | |
| MW Emerging Markets Fund | Acc | | |
| | Inc | | |
| Total | | | |

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

C – 1 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 details of the account from which payment for the units is being made (whether by electronic transfer, direct debit or cheque). If someone other than an Applicant is paying for the units (a 'Gifter'), they should complete and sign section C - 3 so we can also verify their identity and bank details for anti-money laundering purposes.

Account Name

Bank or Building Society Name

Branch

Sort Code

Account Number

Please tick all applicable payment methods and complete the relevant sections 1 to 3 below.

| | | | | | |
|----|-------------------------------------|--|----|--------|--|
| 1. | Electronic payment | | 3. | Cheque | |
| 2. | Direct debit (monthly savings only) | | | | |

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 mandate on page 10 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.

C – 2 Income and Redemption Payments

Please also confirm the account to which you wish us to pay the proceeds from the sale of units and any income distributions if this differs to the account details provided above. We can only make payments to a trustee or beneficiary.

Account Name

Bank or Building Society Name

Branch

Sort Code

Account Number

C 3 - Gifting

Full Name of Gifter

Address

Postcode

Date of Birth

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation for the Gifter

I have included proof of personal address documentation for the Gifter

(see Section (I) for guidance on acceptable documentation).

Bank or Building Society Name

Giftor's Account Name

Sort Code

Account Number

I understand that an electronic data source will be used to verify my identity for the purpose of complying with UK anti-money laundering legislation and further proof of identity and / or information regarding source of funds and source of wealth may be requested.

Signature of gifter

Date

D 1 – Using your Applicants’ information

The personal information which you provide within this application form will be stored and used to help administer the Trust’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 Applicants 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 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.

E – International Tax Compliance Regulations

We are required to collect information about the Trust to determine its 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.

Trust Classification

| | | | | |
|--|-----------------------------------|-----|----|--|
| Please state the country in which the Trust has been established | | | | |
| Please state the country in which the Trust is resident for tax purposes | | | | |
| Is the Trust a Specified Person in the above country | <i>Please tick as appropriate</i> | Yes | No | |

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

Is your Trust

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

GIIN – – –

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

Name

GIIN – – –

Is the Trust:

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 the Trust:

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

| | |
|--|--|
| <input type="checkbox"/> I certify that the Trust identified on this self-certification form has no Controlling Persons | |
| <input type="checkbox"/> I certify that the Trust 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 Trust's Controlling Persons. If they are not also trustees, please include a Controlling Persons' Self-Certification Form for each of them.

| | |
|----------------------------|----------------------------|
| Name: <input type="text"/> | Name: <input type="text"/> |
| Name: <input type="text"/> | Name: <input type="text"/> |

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 it is my decision that this fund or these funds are suitable for the Trust. 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
4. I understand that an electronic data source will be used in order to verify my identity for the purpose of complying with UK anti-money laundering legislation and further proof of identity and / or information regarding source of funds and source of wealth may be requested
5. 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
6. I am not a politically exposed person (PEP) or a family member or a known close associate of a PEP
7. 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
8. 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
9. I have included proof of personal identity and address documentation

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

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Please tick the box to confirm:

(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 |
|---|---|---|---|---|---|---|---|

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 the trust's name as a reference) or you have enclosed a cheque made payable to "McInroy & Wood Portfolios Ltd"
- you have provided the Trust or trustee's bank details in section C
- for regular monthly contributions **only**, you have completed and signed the direct debit mandate on page 10
- 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**
- you have included all required proof of personal identity and address documentation

When you are ready, please send the completed form and cheque (if applicable) to McInroy & Wood Portfolios Ltd, Investor Administration, PO Box 401, Darlington DL1 9UW

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 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 (if known)

Advisor's Address

Postcode

FCA Registration No.:

Advised Deal (yes/no):

Signature

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

I - Documentation Guidance

Documentation guidance for UK Individuals

Please provide one document from both section 1 and 2 below. The same document cannot be used to cover both sections.

Section 1: Evidence of Identity

- Current passport
- Current UK / EEA photocard driving licence (full or provisional)
- Valid (old style) full UK Driving Licence
- Valid Firearms certificate or shotgun licence
- Residence permit issued by the Home Office
- EEA Member state identity card
- A letter or document which evidences entitlement to a state or local authority benefit, tax credit, pension or grant (dated within the last 12 months)
- Northern Ireland voter's card

Section 2: Evidence of Address

- Local authority tax bill (valid for current year)
- Current UK / EEA Photocard Driving Licence (full or provisional)
- Valid (old style) full UK Driving Licence
- Recent bank / building society statement or letter (most recent of its kind)
- Recent letters or statements from other FCA-regulated financial institutions, e.g. pension providers or insurers (most recent of its kind)
- Solicitor / lawyer letter confirming a house purchase or land registry confirmation completed in the last 12 months
- Local Council rent card or tenancy agreement
- Benefits book or original notification letter from the Benefits Agency confirming the right to benefits
- Recent utility bill (not mobile phone bill). Must be dated within the last 3 months
- HM Revenue & Customs correspondence addressed to the applicant at the stated address
- EEA member state identity card
- Northern Ireland voter's card
- Recent credit card statement
- An instrument of a court appointment, e.g. a liquidator or grant of probate
- Valid Firearms certificate or shotgun licence

Requirements

Documents must either be originals or copies certified by someone in the list below:

- Lawyer or solicitor (registered in the UK)
- Notary Public
- An employee of a firm regulated by the FCA (e.g. bank or building society employee, financial adviser, mortgage broker)
- Chartered accountant (member of the Institute of Chartered Accountants)
- Post Office Document Certification Service
- Judge
- Crown servant

The person certifying must:

- date and sign the document stating 'original seen'
- be easy to contact and not a family member

The certification must be dated within the last 6 months.

Documentation Guidance for Non-UK Individuals

Please provide one document from both section 1 and 2 below. The same document cannot be used to cover both sections.

Section 1: Evidence of Identity

- Current signed passport
- Current signed photo-card driving licence
- Residence permit issued by the Home Office to EU nationals
- Government-issued or EEA member state identity card

Section 2: Evidence of Address

- Local authority tax bill (valid for current year)
- Current signed photo-card driving licence
- Original utility bill no older than 3 months (not including mobile phone bill)
- Government issued or EEA member state identity card
- Mortgage statement (most recent)
- Recent bank / building society statement or letter
- Recent credit card statement

Requirements

Documents must either be originals or copies certified by someone in the list below:

- Lawyer or solicitor
- Notary Public
- Member of the Judiciary
- Embassy or Consular staff
- Employees of financial institutions regulated in the EU
- Accountants who are current members of a professional body of accountants

The person certifying must:

- date and sign the document stating 'original seen'
- be easy to contact and not a family member

The certification must be dated within the last 6 months and must be in English or sent with a translation completed by an accredited translator.