

Regulated Financial Institutions and Nominees 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 Portfolios Ltd, 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
- The Applicant must sign and date section **F – Declaration and signature of Applicant**
- The Applicant will be deemed to be the beneficial owner
- Under anti-money laundering legislation, we are required to verify the identities of the Applicant (i.e. the corporate entity) and (unless the Applicant is a listed company or a majority owned subsidiary of a listed company) all beneficial owners, directors, and senior management of the Applicant. We may also need to enquire as to the purpose of the investment and undertake further verification of associated parties and source of funding
- We will initially aim to verify the beneficial owners and controllers 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 and controllers, of both identity and address as laid out in the 'Documentation Guidance' that can be found at the end of this form (except where the Applicant is a listed company or a wholly owned subsidiary of a listed company)
- 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 complete verification then we will not be able to process your application and investment will not be made

A 1 – UK/EU Regulated Financial Services Firm or Nominee Firm (the Applicant)

1. Registration details: The units will be registered in the name of the Applicant.

Full legal name of the Applicant

Listed companies or subsidiaries of listed companies

If the Applicant is a listed company or a majority owned subsidiary of a listed company please provide the name of the exchange and security identifier / code for the listed company below

Address

Postcode

Full name of Applicant's parent company

Parent's regulatory authority and reference number (of Applicant or Applicant's parent company for non-regulated Applicant's)

Name:

Reference number:

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

Category

- UK regulated firm
- Nominee – owned by a UK regulated parent
- Nominee – not owned by a UK regulated parent
- Other – please provide details (and note that additional information may be requested)

Agency Details (required for dealing via Calastone/EMX)

Agency Name

Agency FCA Number (if applicable)

Agent Address

Postcode

A 2 – Documentation

- Please supply an authorised signatory list with this application form. Two authorised signatories are required on any instructions received for dealing and registration
Failure to supply certified copies of the documents requested is likely to delay your application
- Please ensure you complete the coverall document at the end of this application form
- If the Applicant is part of a group, please include a chart showing the group structure, including the ultimate parent company and ownership percentages
- For non-regulated nominees, please also include a letter of assurance / comfort letter signed on behalf of the regulated parent, confirming that group AML policies apply to the entity
- If the Applicant or parent company is not regulated, please also provide the following additional information:
 - Certificate of incorporation or equivalent
 - Constitutional documentation e.g. memorandum and articles of association

See the guidance in Section H regarding how to certify copy documents

B – Beneficial Owners, directors and senior management

B 1 – Listed companies or subsidiaries of listed companies

If the Applicant is a listed company or a majority owned subsidiary of a listed company you do not need to complete sections B.2 (Details of beneficial owners) or B.3 (Details of directors and senior management). If this is the case, please ensure you provide the name of the exchange and security identifier / code for the listed company in section A 1.

If the Applicant is any other type of company, please complete B.2 with details of the following individuals and tick the boxes shown here to confirm that the information has been provided:

- Individuals who own or control more than 25% of the share capital or voting rights (directly or indirectly e.g. via holding company)
- Any other people exercising control over the Applicant (if applicable).

Applicants that are not listed or subsidiaries of listed companies should also please complete B.3 with the details of the following individuals and tick the boxes to confirm that the information has been provided:

- Full names of board of directors or equivalent
- Full names of senior managers, if not listed under another category.

See Section H for more guidance on how to complete these sections.

B 2 – Details of beneficial owners

BENEFICIAL OWNER 1

Full Name

Address

Postcode

Date of Birth

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

Capacity (e.g. shareholder, director, person exercising control or senior managing official). If more than one capacity applies please include all relevant capacities) and percentage ownership, if applicable:

BENEFICIAL OWNER 2

Full Name

Address

Postcode

Date of Birth

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

Capacity (e.g. shareholder, director, person exercising control or senior managing official). If more than one capacity applies please include all relevant capacities) and percentage ownership, if applicable:

BENEFICIAL OWNER 3

Full Name

Address

Postcode

Date of Birth

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

Capacity (e.g. shareholder, director, person exercising control or senior managing official). If more than one capacity applies please include all relevant capacities) and percentage ownership, if applicable:

BENEFICIAL OWNER 4

Full Name

Address

Postcode

Date of Birth

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

Capacity (e.g. shareholder, director, person exercising control or senior managing official). If more than one capacity applies please include all relevant capacities) and percentage ownership, if applicable:

B 3 – Details of directors and senior management

DIRECTOR / SENIOR MANAGER 1

Full Name

Role

Capacity (e.g. director or senior managing official):

DIRECTOR / SENIOR MANAGER 2

Full Name

Role

Capacity (e.g. director or senior managing official):

DIRECTOR / SENIOR MANAGER 3

Full Name

Role

Capacity (e.g. director or senior managing official):

DIRECTOR / SENIOR MANAGER 4

Full Name

Role

Capacity (e.g. director or senior managing official):

B 4 – 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 Limited 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			

C – Bank details and payment methods

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 bank account details electronically before making any settlement or distribution payments to it. We cannot make payments to a third party.

If you do not complete the coverall page of this form, we may ask you to sign a form of renunciation before releasing the proceeds from any sale of units.

Account Name

Bank/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	<input type="checkbox"/>	3.	Cheque	<input type="checkbox"/>
2.	Direct debit (regular savings only)	<input type="checkbox"/>			

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 direct debit mandate form 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 Limited". The cheque must be drawn on your account detailed above.

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 Applicant'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 McInroy & Wood'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 Limited. 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, tick the box in section F.

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 from the Applicant to determine its classification under international tax regulations. Please complete the relevant sections below 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 the Applicant's tax residency changes in the future, please ensure that you advise us of this change promptly. Please note that McInroy & Wood 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 the Applicant is resident for tax purposes in a country other than the United Kingdom you must also state the relevant tax reference number.

Applicant Classification

Please state the country of the Applicant's incorporation/organisation				
Please state the country in which the Applicant is resident for tax purposes				
Is the Applicant a Specified Person in this country	<i>Please tick as appropriate</i>	Yes	No	

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

Is the Applicant:

Please tick as appropriate

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

E 1 – Financial Institutions (FI)

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

GIIN - - -

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

Name

GIIN - - -

Is the Applicant:

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 Applicant:

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 Applicant identified on this self-certification form has no Controlling Persons	
<input type="checkbox"/>	I certify that the Applicant 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 Applicant's Controlling Persons and include a Controlling Persons' Self-Certification Form for each of them.

Name: Name:

Name: Name:

F – Declaration and signature of Applicant

1. We have read a current copy of the Supplementary Information Document and 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 Mclnroy & Wood Portfolios Limited, we are entering into a binding contract.
3. We acknowledge that it is our decision that this fund or these funds are suitable for us. 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 Mclnroy & Wood.
4. We understand that an electronic data source will be used in order to verify the identity of all beneficial owners for the purpose of complying with UK anti-money laundering legislation and further proof of identity may be requested.
5. We acknowledge that **failure to settle** a purchase of units will constitute a contractual breach and entitle Mclnroy & Wood Portfolios Limited 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 or 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 Mclnroy & Wood within 14 days if the information on this form changes.
9. We understand that if we do not complete a coverall form, we may be required to return a signed form of renunciation before proceeds will be released to us for any redemption deals.
10. We have included proof of personal identity and address documentation for all beneficial owners.

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

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 correctly completed.
- your cheque (if applicable) has been made payable to "McInroy & Wood Portfolios Ltd".
- the relevant supporting documentation has been included, including a list of authorised signatories
- required proof of personal identity and address documentation has been included
- for regular monthly contributions, you have completed and signed section the **Direct Debit mandate** overleaf.
- you have read section **D 1 – Using your personal information** and **D 2 – Keeping you informed** confirmed or otherwise your consent as requested.
- you have signed section **F – Declaration and signature of Applicant**.

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

H - 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.

Standard Coverall Renunciation Form



To: **McInroy & Wood Portfolios Limited (the "Manager") and registrar (and their respective administrator(s)) of the relevant fund**

From: the "Holder"

The above-mentioned Holder:

1. Authorises the Manager to accept all instructions given by received in writing or via telephone, facsimile and electronic communication system (including but not limited to email and any other electronic messaging system) for the redemption of units in any fund of which the Manager is manager that are registered in the Holder's name under:

- any and all account designations whatsoever; OR
 the specific account designation(s) listed as follows:

(Only one option above can apply. Please tick/cross the box for the option you wish to apply)

2. Upon the Manager's receipt of each such redemption instruction instructs the registrar to transfer or cancel (as appropriate) those units out of the Holder's name; and
3. Instructs the Manager to pay the redemption proceeds by CHAPS to the bank account with the details specified below:

Bank name

Account name

Sort Code

Account Number

IBAN

The Holder agrees that it will have renounced its title in and rights to the relevant units so redeemed under the relevant redemption instruction once the above 3 steps have taken place.

The Holder agrees, in the absence of the Manager's fraud or willful deceit, to indemnify the Manager, the relevant registrar and administrator from and against all demands, claims, costs, expenses, damages, losses that may be suffered or incurred by the Manager and the relevant registrar/administrator in connection with the Manager and relevant registrar/administrator acting in accordance with these instructions and authorities, including but not limited to acting in good faith on the basis of incorrect or fraudulent instructions made or purported to be made under this authority. Notwithstanding the provision of this authority, the Holder agrees to provide an individual renunciation form in relation to a specific transaction if the Manager or registrar requires at any time.

This authority will continue in force unless and until amended or withdrawn in writing by the Holder or Manager and such amendment or withdrawal notice has been delivered to the other party. The Holder warrants and represents that the undersigned signatory/ies have full capacity and authority and all necessary consents to legally bind the Holder to the obligations set out in this document, that this document has been executed by its duly authorised representatives and that when executed, this document will constitute valid, lawful and binding obligations on the Holder. The Holder agrees that this authority will be governed by English law and agrees to submit, for the benefit of the Manager, registrar and administrator, to the exclusive jurisdiction of the English courts. The Holder agrees to complete a new authority form should the Holder wish to change the bank account details specified above.

For and on behalf of (Full name of registered holder)

Signature

Signature

Print name

Print name

Position

Position

Date

Date

*** NOTE: If the legal entity signing this deed poll is a non-UK company, please amend the above execution provision (as appropriate) so that the execution provision will be legally binding on the relevant entity**



MCINROY & WOOD PORTFOLIOS LIMITED

Investor Administration, PO Box 401, Darlington DL1 9UW
Tel: +44 (0)1620 825867

Registered in Scotland No. SC116351. Registered Office: Easter Alderston, Haddington EH41 3SF
Authorised and regulated by the Financial Conduct Authority