

Corporate Entity (including UK Ltd Liability Partnership) 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
- Two or more authorised signatories are required to sign and date section **F – Declaration and signature of Applicant**
- 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 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 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 complete verification then we will not be able to process your application and investment will not be made

A – Corporate Entity, including UK Ltd Liability Partnerships (the Applicant)

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

Entity details:

Full legal name of the Applicant

Registered address of the Applicant

Postcode

Principal business address if different to above

Postcode

Country of incorporation

Listed companies or subsidiaries of listed companies

If your company 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

NB: if your company is a listed company or a majority owned subsidiary of a listed company you do not need to complete the remainder of this section A.

Directors' Details:

Name, address and date of birth of **ALL** directors (please provide any additional details on a separate page)

Beneficial Ownership Details:

Name and address of any person or entity who owns or controls over 25% of the Applicant's shares/voting rights (e.g. the parent company or other shareholder)

	Postcode		(For individuals) Date of birth	D	D	M	M	Y	Y	Y	Y

Name, address and date of birth of any other individual who otherwise exercises control of the Applicant (e.g. managing director)

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

Please include anti-money laundering verification for all individuals named in this 'Beneficial Ownership Details' section. Please tick:

- I have included proof of personal identity documentation for all beneficial owners
- I have included proof of personal address documentation for all beneficial owners

(see Section H for guidance on acceptable documentation).

2. Documentation

Unless the Applicant is a listed company or majority owned subsidiary of a listed company, please provide the following documentation (originals or certified copies):

- Certificate of incorporation or equivalent document;
- Constitutional document (memorandum and articles of association for a company or partnership deed (or equivalent) for an LLP);
- Organisational structure chart setting out the ownership structure of the company or LLP;
- Authorised signatory list (note that two authorised signatures are required on any instructions received for dealing and registration).

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

B – Please select the funds in which you wish to invest (lump sum and/or monthly saving)

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	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

Payment is required prior to dealing and can be made by electronic transfer or by 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 bank account details electronically before making any settlement or distribution payments to it. We cannot make payments to a third party.

Account Name

Bank or Building Society Name

Sort Code

Account Number

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

1.	Electronic payment	<input type="checkbox"/>	3.	Cheque	<input type="checkbox"/>
2.	Direct debit (monthly savings only)	<input type="checkbox"/>			

1. Electronic payments: Please note that Mclnroy & Wood is unable to make a collection from the Applicant's account so the Applicant must instruct their bank to transfer payment to us prior to dealing. Please send electronic payments with the Applicant's 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 must be completed **only** if the Applicant wishes 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 the account detailed in section C.

D 1 – Using your personal information

The personal information provided 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 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 personal information will be carried out in accordance with our group's Privacy Policy, which can be accessed at the foot of the homepage on our website (www.mcinroy-wood.co.uk). Please read our Privacy Policy as it sets out the Applicant's rights with respect to any personal information we collect from or about them and explains in more detail how we use that information to administer their investment.

D 2 - Keeping you informed

We would like to use the Applicant's personal information to enable us to keep in touch and to send other information which we think may be of interest. 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 explicit consent to use personal information for these purposes. This may be granted by ticking the box in the signature section on page 6.

Consent to receive the articles and other such information may be withdrawn at any time by emailing MWPportfolios@mcinroy-wood.co.uk or telephoning the Unit Trust Team on **01620 825867**. For the avoidance of doubt, if the box is ticked, this consent will apply to all investments held with us.

E - International Tax Compliance Regulations

We are required to collect information from corporate and individual investors to determine their 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 we are advised of this change promptly. Please note that Mclnroy & Wood Portfolios Ltd is not authorised to provide tax advice. Any questions about tax residency or classification should be directed to a qualified tax adviser.

If the Applicant is resident for tax purposes in a country other than the United Kingdom, we require the relevant tax reference number.

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

Name: Name:

Name: Name:

Additional information

F – Declaration and signature on behalf of Applicant

1. I have read a current copy of the SID and the KIID(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 KIIDs.
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 me and 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 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. 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 of the deal 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 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 or a corporation or partnership organised under the laws of the United States of America or having principal place of business in the United States of America.
7. 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.
8. I 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
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Please tick the box to confirm:

(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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G – Checklist

Before returning your application form, please ensure that:

- all relevant sections have been correctly completed.
- an electronic payment has been instructed (using the Applicant's name as a reference) or a cheque is enclosed made payable to "McInroy & Wood Portfolios Ltd".
- the relevant supporting documentation has been included.
- all required proof of personal identity and address documentation has been included.
- the Applicant's bank account details have been completed in section C.
- for regular monthly contributions only, the **Direct Debit mandate** has been completed and signed.
- the Applicant has read section **D 1 – Using your personal information** and **D 2 – Keeping you informed** and confirmed or otherwise consent as requested.
- the Applicant has 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 Ltd, Investor Administration, PO Box 401, Darlington DL1 9UW.

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
 PO Box 401
 Darlington
 DL1 9UW

Service user number

2	9	5	0	9	4
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Name(s) of account holder(s)

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

This guarantee should be detached and retained by the payer.

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.

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.