

ISA Application Form 2024-25

(For UK residents over the age of 18 only)



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
- If you are not an existing investor, we are legally obliged to verify your identity for anti-money laundering purposes. If someone else is paying for the units (a 'Gifter') we are also required to verify their identity. 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 new applicants provide evidence of both identity and address as laid out in the 'Documentation Guidance' that can be found at the end of this form. This is also required for any Gifter, if relevant
- 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 your identity and address (and any Gifter, if relevant) we will not be able to process your application and investments will not be made
- 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**

A - Personal Information:

| | | |
|----------------------|----------------------|----------------------|
| Title | First name(s) | Surname |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Permanent residential address

| | | |
|----------------------|----------|----------------------|
| <input type="text"/> | Postcode | <input type="text"/> |
|----------------------|----------|----------------------|

Daytime telephone number

Email Address

Date of birth

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

National Insurance Number*

*You should be able to find your National Insurance Number on a payslip, form P45 or P60, a letter from HM Revenue and Customs, a letter from the DWP, or a pension order book.

McInroy & Wood Portfolios Limited Client Reference number (existing clients only):

Anti-money laundering verification (please tick):

I have included proof of personal identity documentation

I have included proof of personal address documentation

(see Section G for guidance on acceptable documentation).

B - Investment instructions:

If you are switching into an ISA from an existing unit trust holding, and have completed section B in the Fund Switch Form, you do NOT require to complete this section.

I hereby instruct you to invest in the undernoted MW Fund(s) in my ISA:

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

C - Income Instructions:

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, and so we can electronically verify your identity, we require your building society or bank account details. We will pay the proceeds from the sale of units and any income distributions to this account unless instructed otherwise. We can only make payments to you.

You must provide details of the account from which payment for the units is being made (whether by electronic transfer, direct debit or cheque) so if someone other than an applicant is paying for the units (a 'Gifter'), then we require their details as well so we can also verify their identity for anti-money laundering purposes.

Account Name (for Applicant)

Bank or Building Society Name

Branch

Sort Code

Account Number

Please tick all applicable payment methods and complete the relevant sections 1 to 4 below.

| | | | | | |
|----|-------------------------------------|--|----|--------|--|
| 1. | Electronic payment | | 3. | Cheque | |
| 2. | Direct debit (monthly savings only) | | 4. | Gift | |

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 above.

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 mandate: The mandate (page 6) must be completed 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". Unless someone else is purchasing the units for you, the cheque must be drawn on your account detailed above.

4. Gift: if someone else is purchasing units for you, in your name as a gift, they must complete the section overleaf with their details.

D – Gifting

Full Name of Gifter

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 for the Gifter

I have included proof of personal address documentation for the Gifter

(see Section G for guidance on acceptable documentation).

Bank or Building Society Name

Account Name

Sort Code

| | | | | | |
|--|--|--|--|--|--|
| | | | | | |
|--|--|--|--|--|--|

Account Number

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

Using your personal information

The personal information which you provide within this application form will be stored and used to help administer your 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 of 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 our 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.

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. 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 below.

I consent to McInroy & Wood Portfolios Ltd and its parent company McInroy & Wood Ltd (together "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 your occasional articles and information about your events.

(Please tick the box):

New ISA subscription:

I apply to subscribe to a stocks and shares ISA for the tax year 2024-25.

I attach a cheque for the subscription amount made payable to 'McInroy & Wood Portfolios Ltd'. Tick if applicable.

I am sending payment electronically (see page 2 for bank details). Tick if applicable

I wish to subscribe monthly and enclose a cheque made payable to 'McInroy & Wood Portfolios Ltd' for the first monthly amount and a completed Direct Debit Form for future amounts. Tick if applicable

If you wish to sell units from non-ISA holdings to fund the subscription, please use our Fund to ISA Switch Form

I authorise McInroy & Wood Portfolios Limited:

- to receive my cash subscription and to hold my ISA investments, dividends and any other rights or proceeds in respect of those investments
- to make on my behalf any claims to relief from tax in respect of ISA investments

E - Declaration and signature of applicant

I declare that:

- all subscriptions made, and to be made, belong to me
- I am 18 years of age or over
- I have not subscribed, and will not subscribe, more than the overall subscription limit (2024/25 : £20,000) in total to any combination of permitted ISAs in the same tax year
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Mclnroy & Wood Portfolios Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties
- 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
- I have read and agree to the ISA Terms and Conditions within the Supplementary Information Document and Key Investor Information Document(s) of the Fund(s) in which I wish to invest. I confirm I am familiar with the features of the Fund(s) as described in the Key Investor Information Document(s)
- 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 investments to be held under this application
- I have included proof of personal identity and address documentation (new investors and / or Gifters only)

I declare that this application form has been completed to the best of my knowledge and belief.

Signature

Date

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

Checklist:

Before returning your ISA application form, please ensure that you have:

- Completed your Personal Information
- For lump sum contributions enclosed your cheque or Fund Switch Form or instructed your electronic payment (using your name as a reference)
- For monthly savings **only**, enclosed your completed Direct Debit Form
- Completed the Investment Instructions Box
- Completed your bank details in section C
- Reviewed the "Using your personal information" section above and confirmed or otherwise your consent as requested
- Read and signed the declaration above
- Included all required proof of personal identity and address documentation (new investors and / or gifters only)

When you are ready, please send the forms and cheque (if applicable) to:

Mclnroy & Wood Portfolios Ltd, Investor Administration, PO Box 401, Darlington DL1 9UW

F – 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 |
|---|---|---|---|---|---|---|---|

G - 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.