Partnership / Unincorporated Entity 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 wish to invest, as well as the Supplementary Information Document (SID). The KIID for each fund, the SID, and other documentation can be found on our website
- Please complete in black ink and BLOCK CAPITALS and send your completed form to **McInroy & Wood Portfolios Limited, 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 sign and date section **F – Declaration and signature of Applicants**
- Under anti-money laundering legislation, we are required to verify the identities of all partners or principals 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 partners/principals using electronic data 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 is not successful, we request that you provide evidence, for all partners / principals, as well as any third party who is paying for the units (if relevant) of both 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 1 – Partnership or Unincorporated Entity (the Applicant)

1. **Registration details:** The units will be registered in the names of up to four partners/principals.

Entity details:

Full name of the partnership or unincorporated entity

Address of partnership or unincorporated entity

Postcode

Names of **ALL** partners/principals who exercise control over the management of the partnership or unincorporated entity

Partners' / Principals' details:

Name, address and date of birth of the partners/principals in whose names the investment is to be registered (please note, we shall take instructions from, and address all communications to the FIRST NAMED PARTNER)

1.

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

2.

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

3.

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

4.

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

Please include anti-money laundering verification for all individuals named above. Please tick:

☐ I have included proof of personal identity documentation for all partners/principals

☐ I have included proof of personal address documentation for all partners/principals

(see Section I for guidance on acceptable documentation).

A 2 – Documentation

Please also provide the following documentation (originals or certified copies):

- Partnership agreement or constitutional document
- Authorised signatory list

See the Documentation Guidance at the end of this form for guidance on how to certify copy documents.

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

I 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 – Bank details and payment methods

For anti-money laundering purposes we require details of the account from which payment of the units is being made, whether by electronic transfer, direct debit, or cheque. If someone other than a partner or principal named in this form is making payment (a 'Gifter'), please provide their details in the 'Additional Information' section in Section G, and we will also need evidence of their identity and address as laid out in the Documentation Guidance section for anti-money laundering purposes.

Unless it belongs to a Gifter, we will pay the proceeds from the sale of units and any income distributions to the account detailed below. If a different account should be used, please provide its details at Section G below. Please note that the account for payments must be in the name of one of the partners or principals named in this form. We cannot make payments to a third party. We may verify the payment account details electronically before making any settlement or distribution payments to it.

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 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 Limited Client Money Account**
   Account Number: **44024819**
   Sort Code: **60-00-01**

2. **Direct debit:** The 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 **"McInroy & 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 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, 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, 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 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 McInroy & Wood Portfolios Limited 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.

Classification

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

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

Is your Applicant:

Please tick as appropriate

A Financial Institution (FI)		(Complete Section E 1)
A Non-Financial Applicant (NFE)		(Complete Section E 2)

E 1 – Financial Institutions (FI)

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

GIIN ______ – _____ – __ – ___

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

Name

GIIN ______ – _____ – __ – ___

Is your 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 your 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
I certify that the Applicant identified on this self-certification form has no Controlling Persons	
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. 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 McInroy & Wood Portfolios Limited, I am entering into a binding contract.
3. I acknowledge that I am considered as an execution-only client by McInroy & Wood Portfolios Limited. 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 McInroy & Wood.
4. I understand that an electronic data source will be used in order to verify the idApplicant of all partners/principals for the purpose of complying with UK anti-money laundering legislation and further proof of idApplicant may be requested.
5. I acknowledge that McInroy & Wood Portfolios Limited, as manager of the funds, operates a delivery versus payment exemption, as permitted under the Financial Conduct Authority's rules. This allows the manager not to designate unitholder money as client money for short periods of time around transaction dates. By investing, I agree to such arrangements.
6. I acknowledge that **failure to settle** a purchase of units will constitute a contractual breach and entitle McInroy & Wood Portfolios Limited 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.
7. I am are 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 of transfer such units directly or indirectly to a US person, being a national, citizen or resident of the United States of America.
8. I am not a politically exposed person (PEP) or a family member or a known close associate of a PEP.
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 McInroy & Wood Portfolios Limited within 14 days if the information on this form changes.
10. I have included proof of personal idApplicant and address documentation for all partners / principals / Gifters'.

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 electronic payment has been instructed (using your name as a reference) or you have enclosed a cheque made payable to "McInroy & Wood Portfolios Limited".
- ☐ the relevant supporting documentation has been included.
- ☐ all required proof of personal identity and address documentation has been included
- ☐ you have provided the bank details for the source of funds in section C. Where different bank details should be used for withdrawals and payment of income, you have provided these below.
- ☐ for regular monthly contributions **only**, you have completed and signed the **direct debit mandate** on page 8.
- ☐ you have read section **D 1 – Using your personal information** and **D 2 – Keeping you informed** confirmed or otherwise your consent as requested.
- ☐ all partners/principals have signed section F above.

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

Additional Information

Bank details for withdrawals and income (if different from bank details in section C)

Account Name

Bank/Building Society Name

Branch

Sort Code

Account Number

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 Limited 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

Please complete this direct debit instruction and send it 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

Service user number

2	9	5	0	9	4

Name(s) of account holder(s)

Reference

Bank/building society account number

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

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.

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.