



# General Application Form

Please complete in **BLOCK CAPITALS** and return to: **Slater Investments, Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU**

This Application Form is accurate as from **30/09/18**.

## 1 Personal Details (please complete in full)

**Personal/Company Investor(s) Primary Holder:** (please see Section 2 to add additional holders)

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Telephone:

Email:

Male  Female  Date of Birth: DD / MM / YYYY

National Insurance Number: \_\_\_ / \_\_\_ / \_\_\_ / \_\_\_ / \_\_\_

If you **do not** have a NI Number, please tick here

I confirm that I am a UK citizen and resident

I confirm that I am not a US citizen

Please detail any residency or citizenship you hold in any other country than the UK:

Name or Number of Property:

Address:

City:

Country: Postcode:

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country: Postcode:

## Third Party Details (please complete if relevant)

Please complete this section if the person funding all or part of this investment is not the applicant listed in above. A Confirmation of Verification of Identity (CVI) will also be required.

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Male  Female

Date of Birth: DD / MM / YYYY

Name or Number of Property:

Address:

City:

Country: Postcode:

## 2 Joint Holders

Please include the full name and address of each holder. All correspondence will be sent to the primary holder. Joint holders must have the same investment service as the primary holder.

### Second Named Holder

Mr/Mrs/Ms/Miss/Other:

Surname:

Current address:

Name or Number of Property:

Address:

City:

Country: Postcode:

Full first name(s):

Male  Female  Date of Birth: DD / MM / YYYY

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country: Postcode:

**Third Named Holder**

Mr/Mrs/Ms/Miss/Other:

Surname:

Current address:

Name or Number of Property:

Address:

City:

Country:

Postcode:

Full first name(s):

Male  Female 

Date of Birth: DD / MM / YYYY

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country:

Postcode:

**3 Tax Residency**

Tax regulations require us to collect information about each investor's tax residency. Depending on the information provided, we will be obliged to share information about your account(s) with HMRC who may in turn share this with other relevant tax authorities.

Each investor must indicate all countries in which they are a resident for tax purposes and the associated Tax Identification Number(s) in the box below. If you are a resident in the USA, in order to comply with US law, we are unable to accept your investment. If you submit an application to us it will be rejected and returned to you.

**Named Holder (from section 1)**

Tax Identification Number:

Place of Birth (Town and Country):

Country(ies) of Tax Residency:

**Second Named Holder (from section 2)**

Tax Identification Number:

Place of Birth (Town and Country):

Country(ies) of Tax Residency:

**Third Named Holder (from section 2)**

Tax Identification Number:

Place of Birth (Town and Country):

Country(ies) of Tax Residency:

Please also forward a copy of the section of your passport showing the above details for **each** investor.

**4 Beneficial Ownership (complete this section if the registered holder is NOT the beneficial owner)**

Beneficial Holder/Name	Date of Birth	Address	Tax Identification number	Signature	Date
		Property: 1st: 2nd: City: Country: Postcode			
		Property: 1st: 2nd: City: Country: Postcode			

		Property:			
		1st:			
		2nd:			
		City:			
		Country:			
		Postcode			

Applicants for direct investments are required to disclose circumstances where an individual or organisation other than the investor(s) named on the application form ultimately owns or controls the investment being made. You are therefore required to make the relevant disclosure on the application and where necessary provide the full name of any additional parties who have beneficial ownership of this investment. There are additional requirements for corporate bodies, partnerships, trusts, fund administrators/distributors and estates of deceased persons. Please contact us if you would like to discuss documentary requirements.

**5 Professional Advisor's Details (if applicable)**

Advisor Name:

FCA Number:

Agent Code (if known):

Please tick here if advice has been given

Please tick here if cancellation rights apply

Agent Name and Address or Stamp:

**6 Client Identification**

In order to comply with Anti-Money Laundering Regulations, we are required to verify the identity and address of the applicant(s). Please could you send us one document from **each** of the below categories for **all** registered holders from Section 1 and 2. Slater Investments uses a system of electronic identification; the search is performed using the services of Experian, a Credit Reference Agency.

Category A - Identity Document
Current Signed Passport or Certified Copy
Driving Licence* or Certified Copy
Birth Certificate

Category B - Address Document
Utility Bill
Bank/Building Society/Financial Services Statement
Government Issued Document
Driving Licence* or Certified Copy

\* A driving licence cannot be used for both categories

NB - The address on all documents must match your listed address on this form

For more information regarding Client Identification, please refer to our Anti-Money-Laundering booklet that can be found in the Literature section of our website.

**Whilst we can accept original documentation, we do not advise customers to send in original copies unless it is sent through registered post, we will then return in the same manner. We are unable to accept liability for any loss or damage upon return. Alternatively a copy of the documents can be sent as long as it is signed by a certifier. The certifier must write the date, full name, address and contact telephone number.**

**7 Funding Your Investment (tick all that apply)**

**Bank Transfer**      Amount: £

All bank transfers must be paid directly to the Bank of Scotland account below, referenced with the name of the client.

**Account Number:** 10196669

**Sort Code:** 12-01-03

**IBAN:** GB79BOFS12010310196669

**BIC:** BOFSGB21254

**Cheque(s)**      Amount: £

Cheques must either be drawn on your account or a joint account. The cheque must be made payable to **Slater Investments Ltd.** For a Building Society cheque or banker's draft, your name must appear on the front of the cheque, or on the back of the cheque accompanied by the Building Society's or Bank's official stamp and signature.

**Monthly Direct Debit**      Amount: £

In order to pay via Direct Debit, please ensure you have completed 'Regular Savings' in **Section 9** and **Section 12.**

## 8 Nominated Bank Account

Complete this section to set up a new nominated bank account. We'll use the details below to pay any future income/withdrawals to:

Name of Account Holder:
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Account Number:
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Sort Code:
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## 9 Investment Selection

You may invest in one or more fund(s). The minimum subscription for each fund is detailed in the relevant Prospectus.

Fund Name	Lump Sum (£)	Regular Savings (£)
1)		
2)		
3)		
<b>Total:</b>		<b>£</b>

If you require **income to be paid out** to you, please tick here:  Income will be paid to the applicant's bank account detailed in Section 8. Otherwise, income will either be accumulated (where accumulation units/shares are available) or automatically reinvested at no initial charge (where only income units/shares are available).

## 10 Declaration

- I declare that I am 18 years of age or over.
- I confirm that I am not a US Person (either resident or citizen) and acknowledge that US Persons cannot hold shares/units in the fund(s). I agree to notify Slater Investments Ltd. immediately in the event that I/we become a resident in the USA.
- I hereby authorise Slater Investments Ltd. to hold my cash subscription, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- I acknowledge that I have read and understood the Slater Investments Ltd.'s Terms & Conditions and agree to be bound to these. To the best of my knowledge and belief, all statements made in this application form are true and correct and I shall inform Slater Investments Ltd. immediately of any changes herein.
- I have read and understood the relevant Key Investor Information Document (KIID) and Supplementary Information Document (SID). I understand that these documents form part of the terms and conditions of my investment in the funds.

Slater Investments Limited, as a data controller, will handle all your personal details in accordance with General Data Protection Regulations. From time to time we would like to send you information on other products, services and events which we offer and which we may think are of interest to you. **If you would like to receive such information please tick this box:**

Full Name:
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Signature:
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Date: DD / MM / YYYY
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Please note that this form will be returned if it is not signed and dated.

## 11 Completed Form Checklist

To ensure that there will be as few issues as possible, if any, in processing your form, please make sure you have:

- Provided full registration details - **Section 1 to 5**
- Provided client identification documents - **Section 6**
- Stated your fund choice(s) and how much you wish to invest - **Section 9**
- Signed and dated the Declaration - **Section 10**
- Completed and signed the mandate for regular savers and/or income payments - **Section 12** (if applicable)
- Enclosed a cheque made payable to: Slater Investments Ltd. (if applicable)

Up to date Key Investor Information Documents, Prospectuses and Manager's Reports & Accounts for any fund can be requested by the investor at any time.

If you have any queries or need further assistance with the completion of this application form, please contact your Professional Advisor or contact **Lisa Letham** on **+44 (0) 207 2209365**

Your completed Application form, together with your cheque (if applicable) should be returned to your Professional Advisor or direct to: **Slater Investments, Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU**

**12 Investment By Direct Debit****Instruction to your Bank or Building Society to pay Direct Debit**

Name and full postal address of your Bank or Building Society:

To the Manager	Bank or Building Society
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<b>Service User:</b> Slater Investments Ltd. 3 Laurence Pountney Hill, London, EC4R 0EU
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Address:
Postcode:

<b>Service User No.</b>	1	6	8	5	5	2
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<b>Reference Number (to be completed by SIL):</b>
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Name(s) of Account Holder(s)
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**Instructions to your Bank or Building Society:**  
Please pay Slater Investments 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 Slater Investments Ltd. and, if so, details will be passed electronically to my Bank or Building Society.

Account Number:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Sort Code:	-	-
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Please note that some Banks and Building Societies may not accept Direct Debit instructions from some types of accounts. Any bank details given in this section will override any existing bank details we may hold for you.

<b>Full Name:</b>
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<b>Signature:</b>
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<b>Date:</b> DD / MM / YYYY
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**13 Direct Debit Guarantee****This guarantee should be detached and retained by the payer.**

- This guarantee is offered by all Bank 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, Slater Investments Ltd. will notify you 10 working days in advance of your account being debited, or as otherwise agreed. If you request Slater Investments 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 payment of your Direct Debit by Slater Investments Ltd. or your Bank/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 Slater Investments 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.