

Elite Unit Trusts

Stocks and Shares ISA

Application Forms

Class A Units & Class C Units

For completion by the introducing intermediary
(if applicable)

Advised Investment*

If you have received advice relating to this investment you may only invest in the C Class Units

Non-advised Investment*

If you have not received advice relating to this investment you may invest in any of the Unit Classes

*Please tick as appropriate



WAY Fund Managers Limited

Stocks and Shares ISA Application Form

1. Personal Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Residential Address	
Postcode	
National Insurance Number*	
Telephone (daytime)	
Telephone (evening)	
Date of Birth	

If you do not have a National Insurance Number, please tick this box

*Your National Insurance Number (NINO), or National Pension Number and Date of Birth must be quoted. Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book.

2. Investment Details

I apply to subscribe for the following investment to the **WAY Fund Managers Stocks and Shares ISA** for the **20__ / 20** tax year and for each subsequent tax year until further notice. *(PLEASE COMPLETE THE TAX YEAR)*

Please note that full information concerning the latest HMRC ISA rules and the maximum subscription for the current tax year can be found at www.gov.uk/individual-savings-accounts.

Trust	Unit Class and Type	Lump Sum Investment (Minimum Initial Investment £5,000/\$5,000 per trust)	Monthly Savings** (min. £100 per month per trust)
Elite Balanced Trust	Class A Accumulation GBP#	£	£
	Class C Accumulation GBP	£	£
	Class C Accumulation USD	\$	N/A
Elite Income Trust	Class A Accumulation GBP#	£	£
	Class A Income GBP#	£	£
	Class C Accumulation GBP	£	£
	Class C Income GBP	£	£
	Class C Accumulation USD	\$	N/A
	Class C Income USD	\$	N/A
Total Investment		£	£
		\$	N/A

A unit class is only available for a 'Non-advised Investment'.

* You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.

** Collection date for monthly savings is the 10th of the month or the next business date if the 10th is a non business day.

3. Income Payments (Income units only)

Please tick if you wish your income to be reinvested. If not, please complete the section below.

Please complete this Income Payment section if you wish the income arising from your Income units to be paid directly into your bank or building society account. **If you have chosen Income units and we do not have your verified bank details, you will automatically be allocated Accumulation units, as all payments of income must be made by Direct Credit.** Please note that banks and building societies may not accept Direct Credits to some types of accounts. Due to money laundering regulations, your bank account must be the same as the one your initial investment is paid from.

Bank Account Details	
Bank or Building Society	
Branch Title	
Name of Account Holder(s)	
Account Number	
Sort Code	
Building Society Roll Number (if applicable)	

4. Cancellation Rights

Under the Financial Conduct Authority's Conduct of Business Sourcebook, cancellation rights will apply where the contract was arranged through an independent intermediary, unless they hold an appropriate Customer Agreement with you or dealt on your behalf on an execution-only basis. A copy of the Prospectus is available, free of charge, on request. A copy of this completed application form is also available on request.

For an Advised Investment Cancellation Rights **will** apply.

5. Data Protection—How your personal data is used

By completing and submitting an application to invest in any of the Funds that WAY Fund Managers Limited ("we"/"us") operates, you will be giving your consent to the processing of your personal data (including any anti-money laundering verification check), by us for the administration of services in connection with your investment on a contractual basis. Additionally we may be requested to share your personal data with our regulator, the Financial Conduct Authority, or for wider compliance with any legal or regulatory obligation to which we might be subject.

If you have used an intermediary to submit the application we may also share information about your investment with them, to help them to continue to provide their services to you, unless you request us not to.

We may share your personal data with contracted third parties for the purposes mentioned above (however this does not entitle such third parties to send you marketing or promotional messages) and we do not envisage that this will involve your personal data being transferred outside of the European Economic Area.

We make every effort to maintain the registration of your holdings accurately. However, if you feel that we have incorrectly recorded any of your personal data, you may request its correction. You have the right to request copies of your personal data stored by us and can do so by using our contact details below.

Your data will be stored and processed securely for the period of your contract with us and for a minimum of seven years after our relationship ceases, for regulatory and legislation purposes only.

We are registered with the Information Commissioner's Office as a Data Controller and Data Processor for this purpose. Further information on how we manage your personal data can be found within our **Privacy Notice** which can be found on our website www.wayfunds.com.

Should you wish to make a complaint or request further information on how we collect and process your personal data please contact us at:

Data Protection Office, WAY Fund Managers Limited, Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset, BH21 7SB.

Email: DPO@wayfunds.com Tel: 01202 855856.

Alternatively, if you have any concerns or complaints as to how we have handled your personal data, you may lodge a complaint to the Information Commissioner's Office through their website which can be found at:

<https://ico.org.uk/for-the-public/raising-concerns/>

6. Declaration

- I apply to invest in a WAY Fund Managers Limited ISA invested in the Elite Unit Trusts.
- All subscriptions made, and to be made, belong to me.
- I confirm that I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash, a stocks & shares ISA, and to an innovative finance ISA in the same tax year.
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- 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 the Income Tax (Earning & 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 WAY Fund Managers 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 have read a copy of the NURS Key Investor Information document(s), the Supplementary Information Document incorporating the ISA Terms and Conditions, and agree to be bound by them and accept that they may be varied at the Company's discretion.
- I declare that this application form has been completed to the best of my knowledge and belief.
- I understand that you may require additional information from me in accordance with the money laundering regulations and I acknowledge that electronic data sources may be used to check my identity under the money laundering regulations.
- I have read the data protection information contained in the Prospectus and in this document.
- I consent to my units being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.
- I authorise WAY Fund Managers Limited:
 - to hold my cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash,
 - to make on my behalf any claims to relief from tax in respect of ISA investments.

Applicant's Name (please print)	Applicant's Signature	Date

7. Politically Exposed Person—Tick either A) or B)

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I hereby represent and warrant that, to the best of our knowledge, none of the following:

- (1) the investor;
- (2) any person controlling or controlled by the investor;
- (3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- (4) any person for whom the investor is acting as agent or nominee in connection with this investment is a politically exposed person,* or any immediate family member** or close associate of a politically exposed person as such terms are defined in the footnotes below.

OR **CATEGORY B)**

I confirm that I meet the definition of a politically exposed person(s),* or any immediate family member(s)** or close associate(s) of a politically exposed person according to the terms defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

*“politically exposed person” means an individual who is, or has been, entrusted with a prominent public function, including, heads of state, heads of government, ministers and deputy or assistant ministers, members of parliament or of similar legislative bodies including regional governments in federalised systems and devolved administrations, including the Scottish Executive and Welsh Assembly, where such bodies have some form of executive decision-making powers. Members of the governing bodies of political parties. Members of supreme courts, of constitutional courts or of any judicial body, the decisions of which are not subject to further appeal except in exceptional circumstances. In the UK this means only judges of the supreme court. Members of courts of auditors or of the boards of central banks. Ambassadors, charges d’affaires and high-ranking officers in the armed forces. Members of the administrative, management or supervisory bodies of State-owned enterprises. Directors, deputy directors and members of the board or equivalent function of an international organisation (this does not include sporting federations).

** The definition also expands to a “close associate”, “immediate family member” of a politically exposed person and includes any of the following persons: a) any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c) any spouse of a PEP d) any person who is the equivalent of a spouse under the national law of the place where the PEP resides e) any cohabitant, f) any child or parent of the politically exposed person or spouse of the child of the PEP g) any brother or sister.

I FALL INTO CATEGORY: A) or
(Please tick as appropriate) B)

Applicant's Name (please print)	Applicant's Signature	Date

Please make sure you have:

- Signed the Application Form;
 - Made your investment requirements clear;
 - Completed the separate Direct Debit Mandate for a monthly savings plan, if applicable;
 - Completed the 'Politically Exposed Person' section, as appropriate;
 - Arranged for a payment relating to this investment to be made to WAY Fund Managers Limited's bank account. The bank details are as follows:
- In order to comply with the UK law on money laundering, payments must be made from your own bank account, or from an account in the name of a regulated intermediary authorised to hold and control client money. In any event, please provide here the details of the bank account from which payments have been made, including the following:
 - Full name and address of remitting bank:

Bank	HSBC Bank plc, 60 Queen Victoria Street, London EC4N 4TR
Sort Code	40-05-30
Account Number	24577000
Account Name	WAY Fund Managers Limited
Swift Address and IBAN	MIDLGB2102T and GB17MIDL40053024577000
Reference (please quote)	Full Investor Name

- Sort Code:
- Account Number:
- Account Name:

Please return your completed application form to:

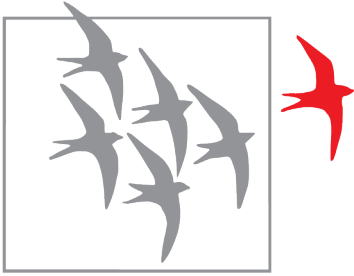
WAY Fund Managers Limited, Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset BH21 7SB

If you have any questions regarding the completion of this form please contact your financial adviser or alternatively the ACD on **01202 855856**.

Intermediary Comments:

Intermediary Stamp:
FCA Number (FRN):
Agency ref:
Discount %:
Commission payable % (non-advised business <u>only</u>):

Name of Registered Individual:



Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

WAY Fund Managers Limited
Cedar House,
3 Cedar Park,
Cobham Road,
Wimborne,
Dorset BH21 7SB

Service user number

4	0	8	6	4	6
---	---	---	---	---	---

Name(s) of account holder(s)

Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Instruction to your bank or building society
Please pay WAY Fund Managers Limited 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 WAY Fund Managers Limited and, if so, details will be passed electronically to my bank/building society.

Bank/building society account number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

DD12

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 WAY Fund Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request WAY Fund Managers Limited 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 WAY Fund Managers Limited 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 WAY Fund Managers Limited 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.