

EF Rosevine Capital ICVC

OEIC Application Form and Stocks and Shares ISA Application Form

For completion by the introducing intermediary
(if applicable)

☐

Advised Investment*

For advised investments, cancellation rights will apply.

☐

Non-advised Investment*

☐

The client meets the target market for the selected investment fund*

*Please tick as appropriate



WAY Fund Managers Limited



WAY Fund Managers Limited

Please take a moment to read the following guidance before completing this application form

• **FOR A DIRECT INVESTMENT**

If you wish to make a direct investment into the EF Rosevine Capital ICVC please complete the 'OEIC Application Form' on pages 3 to 11.

Please ensure you complete the OEIC application form fully, including:

- ◇ Signing the 'Declaration' on page 5, having read the terms and conditions;
- ◇ The 'Politically Exposed Person' section on pages 7 and 8;
- ◇ The 'Self-Certification for Individuals' **or** 'Self-Certification for Entities' section, as applicable by disclosing your classification following the guidance on pages 9 to 11.

Finally, please read the checklist entitled 'Please make sure you have' on page 17.

If you have elected to take up a monthly savings plan, please also complete and return the Direct Debit mandate to us which may be found at the back of this application form.

• **FOR AN ISA INVESTMENT**

If you wish to invest in a Stocks and Shares ISA in the EF Rosevine Capital ICVC please complete the 'Stocks and Share ISA Application Form' on pages 13 to 16.

Please ensure you complete the ISA application form fully, including:

- ◇ Signing the 'Declaration' on page 15, having read the terms and conditions;
- ◇ The 'Politically Exposed Person' section on page 16.

Finally, please read the checklist entitled 'Please make sure you have' on page 17.

If you have elected to take up a monthly savings plan, please also complete and return the Direct Debit mandate to us which may be found at the back of this application form.

Common Reporting Standard and Foreign Account Tax Compliance Act

Both the Common Reporting Standard (CRS) and the Foreign Account Tax Compliance Act (FATCA) are aimed at reducing tax evasion by citizens using foreign accounts outside of their jurisdiction of tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your investment with HM Revenue and Customs (HMRC) who may in turn share this with any or all participating tax jurisdictions. All reporting will be handled by WAY Fund Managers. Corporate bodies will need to complete the CRS/FATCA "Self-Certification" form relating to "Entities" which can be found on pages 10 to 11 of this document.

Note for existing holders: Should your CRS/FATCA status change, please re-evaluate your CRS/ FATCA self-declaration accordingly.

OEIC Application Form

1. Investor Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	
Registered name if not an individual (e.g. company name)	
Designation (if applicable)	
Telephone (daytime)	

2. Personal Details of Joint Applicant

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
Date of Birth	

Additional joint applicants (a maximum of 4 in total) must sign and attach name and address details separately. Shares cannot be registered in the name of a minor. Shares should be registered in the name of an adult and designated with the minor's initials (e.g. John Smith - account PBS). On attaining the age of majority, Shares can be transferred to the designee upon receipt of the appropriate documentation.

3. Investment Details

EF Rosevine Capital ICVC Sub-Fund	Share Class and Type (Minimum Initial Investment)	Lump Sum Investment Amount	Monthly Savings* (min. £100 per month; £50 per sub-fund)
EF Rosevine Capital Global Equity Fund	Class R Accumulation (£1,000)	£	£
	Class I Accumulation (£100,000)	£	£
	Class F Accumulation (£100,000)†	£	£
Total Investment Amount		£	£

* Collection date for monthly savings is the 1st of the month or the next business day if the 1st is not a business day.

† Investments into Class F Shares are permitted at the absolute discretion of WAY Fund Managers Limited.

4. Settlement for Purchases

Investment in Sterling Classes: A payment of the investment amount in the "Total Investment Amount" box above should be made to the following bank account:

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	MIDLGB22 and GB17MIDL40053024577000
Reference	Full Investor Name

Please ensure that on your payment a reference is quoted including the full investor name and account number (if known). Please also ensure that the amount we receive (after any applicable bank charges) is the same as the amount shown under "Total Investment Amount" in the previous section.

5. 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.

6. 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/>

7. Declaration

- I/We* apply to WAY Fund Managers Limited to invest in the EF Rosevine Capital ICVC.
- I/We* declare that this application form has been completed to the best of my/our* knowledge and belief.
- I/We* confirm that I/we* have received and read the terms set out in the Prospectus, Supplementary Information Document and Key Investor Information document(s) for the sub-fund(s) of EF Rosevine Capital ICVC.
- I/We* will remit the money electronically for the lump sum amount to be invested and/or have completed the Direct Debit instruction for the first and subsequent monthly payments. I/We* confirm that these monies are my/our* own and that I/we* are the beneficial owner(s) of this investment. If the investor is not the beneficial owner please complete the boxes below†.
- I/We* understand that you may require additional information from me/us* in accordance with the money laundering regulations and I/we* acknowledge that electronic data sources may be used to check my/our* identity under the money laundering regulations.
- I am/We are* not a US Person am/are* not applying for shares on behalf of a US Person. I/we* will notify WAY Fund Managers Limited immediately should my/our* status change.
- I/We* have read the data protection information contained in the Prospectus and in this document.
- I/We* consent to our shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.

*PLEASE DELETE AS APPROPRIATE

Please contact us if you have any queries regarding your U.S. status.

First Applicant's Signature	Date
First Joint Applicant's Signature	Date
Second Joint Applicant's Signature	Date
Third Joint Applicant's Signature	Date

† if you are not the beneficial owner(s) please delete the relevant wording in the declaration, and complete the box(es) below with details of who the beneficial owner(s) is/are and also advise your relationship to such person(s). For corporate applicants please give details of any unitholders or other individuals who ultimately control more than 25% of the voting rights or are entitled to more than 25% of the company's profits or otherwise exercise control over its management. For trusts the beneficial owners are each of the settlor, the trustees, the beneficiaries or class of beneficiaries and any individual who has control over the trust.

Please note that, regardless of any beneficial owners indicated below, the applicant named on the application form will have legal title to the shares and instructions will only be accepted from the applicant and any authorised individuals of the applicant.

Beneficial Owner details:
Full Name
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

Beneficial Owner details:
Full Name:
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

Continued on the following page.

7. Declaration *(continued from overleaf)*

Beneficial Owner details:
Full Name
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

Beneficial Owner details:
Full Name
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

Beneficial Owner details:
Full Name:
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

Beneficial Owner details:
Full Name:
Relationship to Applicant
Permanent Address
Postcode
Date of Birth

8. Politically Exposed Person

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

CATEGORY A)

I/We† 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/We† confirm that I/we† 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; and g) any brother or sister.

First Applicant's Name† (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐	First Joint Applicant's Name† (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐
First Applicant's Signature _____	Date D D M M 2 0 Y Y	First Joint Applicant's Signature _____	Date D D M M 2 0 Y Y
Second Joint Applicant's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐	Third Joint Applicant's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐
Second Joint Applicant's Signature _____	Date D D M M 2 0 Y Y	Third Joint Applicant's Signature _____	Date D D M M 2 0 Y Y

† If you are not the beneficial owner(s) please complete and sign the section overleaf.

8. Politically Exposed Person (continued from overleaf)

† if you are not the beneficial owner(s) please complete the box(es) below with details of who the beneficial owner(s) is/are.
Please also tick the appropriate option to declare the beneficial owner's status according to the Politically Exposed Person terms on the previous page.

First Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐	Second Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐
First Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y	Second Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y
Third Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐	Fourth Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐
Third Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y	Fourth Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y
Fifth Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐	Sixth Beneficial Owner's Name (please print) _____	Politically Exposed Person Declaration (please check box as appropriate) I FALL INTO CATEGORY A) ☐ or B) ☐
Fifth Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y	Sixth Beneficial Owner's Signature _____	Date D D M M 2 0 Y Y

Self-Certification for Individuals¹

NOTE: Each person named as a **Registered Holder** on this **Application Form** must **print and complete and submit a separate copy of this form**. **Entities (i.e. companies, charities constituted as corporate bodies, limited liability partnerships etc.) must complete the “Self-Certification for Entities” form which follows this page.**

Tax Regulations require WAY Fund Managers Limited to collect certain information about each investor's tax residencies and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. Information about you may also be transferred to the government of another territory in accordance with a relevant agreement.

Please complete all sections below as directed. If you have any questions about your classifications, please contact your tax adviser. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Section 1: Individual Tax

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

Country/Countries of Tax Residency	Tax Reference Number

If you are not resident in any country for tax purposes, please tick this box: ☐

Section 2: Declaration

I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete.
I agree to notify WAY Fund Managers Limited immediately in the event the information in the self-certification changes.

Signature of Applicant:

Applicant's full name (please print):

Permanent Residential Address:

*Date of Birth:

Self-Certification for Entities²

Tax Regulations³ require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. Information about you may also be transferred to the government of another territory in accordance with a relevant agreement.

Please complete all sections below as directed. If you have any questions about your organisation's classifications, please see instructions or contact your tax advisor. Please see notes overleaf for key definitions. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Individuals (i.e. natural persons, including where the investment is to be registered into the names of individuals) must complete the "Self-Certification for Individuals" form on the previous page.

Section 1: Entity Tax Residency

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

- 1.1 Please state the country in which your organisation is resident for tax purposes:
- 1.2 Please provide us with your organisation's Tax Reference Number:

Section 2A: Organisation's classification under FATCA⁵

Please tick only one box with reference to the tax residency stated in box 1.1.

If your organisation is a Financial Institution⁶, please specify which type:

2.1	UK Financial Institution or a Partner Jurisdiction Financial Institution ⁶	
2.2	Participating Foreign Financial Institution (in a non-IGA jurisdiction) ⁶	
2.3	Non-Participating Foreign Financial Institution (in a non-IGA jurisdiction) ⁶	
2.4	Financial Institution resident in the USA or in a US Territory ⁶	
2.5	Exempt Beneficial Owner ⁷	
2.6	Deemed Compliant Foreign Financial Institution ⁶ (besides those listed above)	

If your organisation is not a Financial Institution⁶, please specify the entity's FATCA status below:

2.7	Active Non-Financial Foreign Entity ⁸	
2.8	Passive Non-Financial Foreign Entity ¹⁰ (If you tick this box, please include individual self-certification forms for each of your Controlling Persons ¹¹)	

Section 2B: Complete this *only* if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following and therefore **not** a Specified US Person: ☐

- A regularly traded corporation on a recognised stock exchange;
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange;
- A government entity;
- Any bank as defined in section 581 of the U.S. Internal Revenue Code;
- A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the U.S. Internal Revenue Code;
- OR any other exclusion.

Please continue to **Section 3** on the following page.

Section 3: Organisation's classification under the Common Reporting Standard (CRS)¹⁴

Please tick one box only in this section with reference to the tax residency stated in box 1.1

3.1	Financial Institution ⁶ (this includes Non-Reporting Financial Institutions such as a pension scheme, government entity, international organisation and other entities).	
3.2	A professionally managed Investment Entity ¹² <u>outside</u> of a CRS Participating Jurisdiction (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons ¹¹)	
3.3	Active Non-Financial Entity ⁸ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation	
3.4	Active Non-Financial Entity ⁸ (other than those listed in 3.3 above)	
3.5	Passive Non-Financial Entity ¹⁰	

Section 4: Declaration for FATCA and CRS¹⁴

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.
I agree to notify WAY Fund Managers Limited immediately in the event the information on this self-certification form changes (including any changes to Controlling Persons).

Signed by (please print name):

On behalf of (organisation name):

Position (in organisation):

Organisation address:

Country of Incorporation or Organisation:

Signature of person authorised to sign:

Date:

Notes

¹Individual

Means a natural person

²Entity

Mean a non-natural person and includes a corporate or unincorporated body (whether or not having separate legal personality). For example a company, charity, or partnership.

³Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA⁵, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

⁴Specified Person

The term "Specified Person" is defined by reference to local laws in the country where an entity is established. In the UK, a "Specified United Kingdom Person" means a person or entity who is resident in the United Kingdom for tax purposes, other than:

- i) a corporation the stock of which is regularly traded on one or more established securities markets;
- ii) any corporation that is a Related Entity¹³ of a corporation described in clause (i);
- iii) a Depository Institution;
- iv) a broker or dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom;
- v) a Governmental Entity;
- vi) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- vii) a Central Bank; or
- viii) a pension scheme or other arrangement registered with HMRC under Part 4 of the Finance Act 2004.

Similar definitions apply to entities in the US (defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK). **Entities in other jurisdictions should instead apply the similar definition of "Reportable Person" under the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.†**

⁵FATCA

The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US Hire Act 2010.

⁶Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity¹², or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK's Agreements to Improve International Tax Compliance. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

⁷Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- i) a Governmental Entity;
- ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- iii) a Central Bank; or
- iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

⁸Active Non-Financial Entity (NFE)

A NFE is any entity that is not a Financial Institution.

An Active NFE is any NFE that meets one of the following criteria:

- i) Less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- ii) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹³ of an entity, the stock of which is traded on an established securities market;
- iii) The NFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
- iv) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFE;
- v) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- vi) The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- vii) The NFE primarily engages in financing and hedging transactions with, or for Related Entities¹³ that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- viii) The entity is a Non-Profit Organisation⁹.

⁹Non-Profit Organisation

The term "Non-Profit Organisation" means an entity that meets ALL of the following criteria:

- i) It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- ii) It is exempt from income tax in its country of residence;
- iii) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- iv) The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- v) The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

¹⁰Passive Non-Financial Entity (NFE)

A Passive NFE is any NFE that is not an Active NFE⁸.

¹¹Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an entity. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

¹²Investment Entity†

The term "Investment Entity" means any entity:

- a. that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - ii) individual and collective portfolio management; or
 - iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- b. the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the entity is managed by another entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in (a) above.

An entity is treated as primarily conducting as a business one or more of the activities described in (a), or an entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for purposes of (b), if the entity's gross income attributable to the relevant activities equals or exceeds 50 per cent of the entity's gross income during the shorter of: (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or (ii) the period during which the Entity has been in existence. The term "Investment Entity" does not include an entity that is an Active NFE because it meets any of the criteria in (iv) to (vii) in the definition of Active NFE⁸ above.

¹³Related Entity

An entity is regarded as being related to another entity if one entity controls the other or the two entities are under common control - the "related entity group". For this purpose control is taken as including the direct or indirect ownership of more than 50 per cent of the vote and value in an entity.

¹⁴Common Reporting Standard

The information standard for automatic exchange of information (AEOI).

† Text is required for OECD CRS purposes only.

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.

EF Rosevine Capital ICVC Sub-Fund	Share Class and Type (Minimum Initial Investment)	Lump Sum Investment Amount	Monthly Savings* (min. £100 per month; £50 per sub-fund)
EF Rosevine Capital Global Equity Fund	Class R Accumulation (£1,000)	£	£
	Class I Accumulation (£100,000)	£	£
	Class F Accumulation (£100,000)†	£	£
Total Investment Amount		£	£

* 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 1st of the month or the next business day if the 1st is not a business day.

† Investments into Class F Shares are permitted at the absolute discretion of WAY Fund Managers Limited.

3. 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.

4. 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/>

5. Declaration

- I apply to invest in a WAY Fund Managers Limited ISA invested in the EF Rosevine Capital ICVC.
- 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 confirm that I have received and read the terms set out in the Prospectus, Key Investor Information Document and Supplementary Information Document relating to the sub-fund(s) of EF Rosevine Capital ICVC, including the ISA Terms and Conditions and accept that these may be varied at the Company's discretion.
- I will remit the amount to be invested electronically for the lump sum amount to be invested (see the last page of this Form for details) and/or have completed the Direct Debit instruction for the first monthly payment. I confirm that these monies are my own.
- 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 shares 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

6. 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; and 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' and the 'Self-Certification for Individuals' or 'Self-Certification for Entities' sections, 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	MIDLGB22 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:

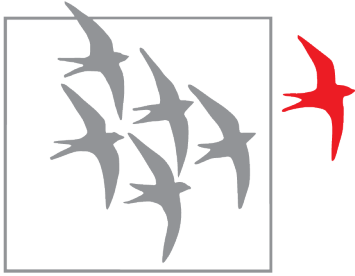
FCA Number:

Agency ref:

Discount %:

Commission payable %:

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
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Name(s) of account holder(s)

Reference

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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	

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.

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.