

# Aquila Investment Funds ICVC

## ISA Transfer Application Form

### Class A Shares only

For completion by the introducing intermediary  
(if applicable)

☐

Advised Investment\*

☐

Non-advised Investment\*

☐

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

\*Please tick as appropriate



***WAY Fund Managers Limited***

## 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

## 2. Investment Details

I apply to transfer my existing ISA(s) (and subscribe to a WAY Stocks and Shares ISA for the **20\_\_/ 20\_\_** tax year and each subsequent 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](http://www.gov.uk/individual-savings-accounts).

| Sub-Fund                       | Share Class and Type | ISIN         | Investment of Transfer Proceeds    | Additional Investment into Current Tax Year |
|--------------------------------|----------------------|--------------|------------------------------------|---------------------------------------------|
|                                |                      |              | % of Transfer Value to be Invested | Lump Investment (Min. GBP1,000)             |
| Aquila Conservative Fund       | A GBP Accumulation   | GB00BSF0BG32 | %                                  | GBP                                         |
| Aquila Conservative Fund       | A GBP Income         | GB00BSF1Y236 | %                                  | GBP                                         |
| Aquila Opportunities Fund      | A GBP Accumulation   | GB00BSF1XZ99 | %                                  | GBP                                         |
| Aquila Opportunities Fund      | A GBP Income         | GB00BSF1Y459 | %                                  | GBP                                         |
| <b>Total Investment Amount</b> |                      |              | <b>100%</b>                        | <b>GBP</b>                                  |

\*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.

## 3. Income Payments (Income Shares 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 shares to be paid directly into your bank or building society account. **If you have chosen Income shares and we do not have your verified bank details, you will automatically be allocated Accumulation shares, 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                               | <input type="text"/> |
| Sort Code                                    | <input type="text"/> |
| 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 electronic anti-money laundering verification check), by us for the administration of services in connection with your investment on a contractual basis. We may pass your personal information to government institutions, regulators, authorities, and courts (when legally obliged to do so) such as the Financial Conduct Authority (FCA), the Information Commissioners Office (ICO), HM Revenue & Customs (HMRC). In such circumstances, we would be processing your personal data only in order to meet a legal, compliance or other regulatory obligation to which we are 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.

In the course of dealing with you, we will pass your personal information on to our contracted service providers who are processing your personal information on behalf of WFM, only for the purpose for which it was collected. This would include WFM's Transfer Agent and Registrar, who are contracted to WAY Fund Managers.

We may also share this data with an electronic identity checking service, which we use to complete the requirements of the anti-money laundering obligations and to verify changes of name and address for your protection; a mailing service that we use to carry out the bulk mailing of correspondence, such as statements and unit/share holder letters; any other service providers who are processing your personal information on behalf us under contractual obligations of confidentiality, such as IT service providers, auditors, our legal advisers for the purpose of seeking its own advice, printing services, professional advisers, fraud prevention organisations and our holding company or any subsidiary companies. 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. Our Privacy Policy can be found at [www.wayfunds.com](http://www.wayfunds.com)

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](http://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](mailto: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 sub-funds of the Aquila Investment Funds ICVC shown in section 2 to this application form shown above.
- 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, an Innovative Finance ISA and a Lifetime ISA in the same tax year.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of 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 relevant fund Prospectuses, Supplementary Information Documents, UK UCITS Key Investor Information Documents (KIIDs) and a disclosure of costs and charges in respect of the Funds selected for investment in Section 2 above.
- 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/we acknowledge that electronic data sources may be used to check my identity under the money laundering regulations.
- 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.

|                                        |                              |             |
|----------------------------------------|------------------------------|-------------|
| <b>Applicant's Name (please print)</b> | <b>Applicant's Signature</b> | <b>Date</b> |
|                                        |                              |             |

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; 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 |
|                                 |                       |      |

## Intermediary Section—For financial adviser use only

|                              |  |             |  |
|------------------------------|--|-------------|--|
| Name of intermediary firm    |  |             |  |
| FCA FRN No:                  |  |             |  |
| Name of Certificated Adviser |  | FCA FRN No: |  |
| E-Mail Address               |  |             |  |
| Telephone Number             |  |             |  |

|                                                                                                    |                                                          |
|----------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| Have you provided the investor (s) with a personal recommendation in relation to this product?     | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| If 'No', has the investment been taken out on an 'execution-only' basis?                           | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| Does the investor fall within the target market for all products selected within this application? | Yes <input type="checkbox"/> No <input type="checkbox"/> |

Intermediary Comments:

### Intermediary Declaration

In submitting this application on behalf of the investor, I declare that:

- I have completed an Identity Verification Certificate (IDVC), retained documentary evidence and/or completed an electronic identity search for all parties relevant to this application that meets or exceeds the standards set out in the JMLSG guidance. I have seen evidence to verify the identity of all applicants and confirm that I will provide copies of said evidence if requested by WAY Fund Managers;
- I acknowledge and understand the target market for whom the product(s) applied for has been designed;
- I have provided the investor with the UK UCITS Key Investor Information Documents (KIIDs) or the Non-UCITS Retail Scheme Key Investor Information documents (NURS-Kii), a Supplementary Information Document, a Consumer Facing Document (where applicable) and a Costs and Charges disclosure as detailed within COBS 6;
- Where I have provided the investor with a personal recommendation, I have assessed the suitability of this product in relation to the investor's individual circumstances and investment objectives in accordance with COBS 9 and believe this to be suitable for my client(s);
- This application form has been completed to the best of my knowledge and belief and I have fully disclosed any adviser charge, if applicable, to the investor(s).

Financial Adviser's Signature:

Date:

Intermediary Stamp (if applicable):

## Transfer Authority(ies) (BLOCK CAPITALS please)

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| Existing ISA Plan Manager's Full Name and full address                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                         |
| Plan Reference                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                         |
| The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA<br>e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL")                                                                                                                                                                                                                                                                                                                                                                                                                       |                                         |
| Type of ISA being transferred                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Cash ISA **      Stocks & Shares ISA ** |
| ** Delete as appropriate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                         |
| Please indicate the approximate value of the ISA to be transferred                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | £                                       |
| <p>Please transfer my current ISA, detailed in this Transfer Instruction Form, to WAY Fund Managers Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to WAY Fund Managers Limited, in accordance with ISA Regulations. Payment should be made to 'WAY Fund Managers Limited'.</p> <p>I authorise you to provide WAY Fund Managers Limited with any information they request regarding my ISA.</p> <p><b>Applicant's Full Name:</b></p><br><br><p><b>Applicant's Signature:</b> <span style="float: right;"><b>Date:</b></span></p> |                                         |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| Existing ISA Plan Manager's Full Name and full address                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                         |
| Plan Reference                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                         |
| The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA<br>e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL")                                                                                                                                                                                                                                                                                                                                                                                                                       |                                         |
| Type of ISA being transferred                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Cash ISA **      Stocks & Shares ISA ** |
| ** Delete as appropriate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                         |
| Please indicate the approximate value of the ISA to be transferred                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | £                                       |
| <p>Please transfer my current ISA, detailed in this Transfer Instruction Form, to WAY Fund Managers Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to WAY Fund Managers Limited, in accordance with ISA Regulations. Payment should be made to 'WAY Fund Managers Limited'.</p> <p>I authorise you to provide WAY Fund Managers Limited with any information they request regarding my ISA.</p> <p><b>Applicant's Full Name:</b></p><br><br><p><b>Applicant's Signature:</b> <span style="float: right;"><b>Date:</b></span></p> |                                         |