



# WS Prudential Investment Funds (1)

Additional Investor Information Document

V27-10-24



## WS Prudential Investment Funds (1)

### Sub-funds

WS Prudential Risk Managed Active 1  
WS Prudential Risk Managed Active 2  
WS Prudential Risk Managed Active 3  
WS Prudential Risk Managed Active 4  
WS Prudential Risk Managed Active 5  
WS Prudential Risk Managed Passive Fund 1  
WS Prudential Risk Managed Passive Fund 2  
WS Prudential Risk Managed Passive Fund 3  
WS Prudential Risk Managed Passive Fund 4  
WS Prudential Risk Managed Passive Fund 5

### Authorised Fund Manager

Waystone Management (UK) Limited (“WMUK”)  
All correspondence should be sent to the Transfer Agent:

Waystone Management (UK) Limited  
PO Box 389  
Darlington  
DL1 9UF

Telephone: 0344 335 8936  
(lines are open 8:30am to 5:30pm Monday to Friday)  
Email: [wtas-investorservices@waystone.com](mailto:wtas-investorservices@waystone.com)  
Dealing: [ordergroup@waystone.com](mailto:ordergroup@waystone.com)

### Depositary

The Bank of New York Mellon (International) Limited  
One Canada Square  
London  
E14 5AL

### Investment Manager

M&G Investment Management Ltd  
10 Fenchurch Avenue  
London  
EC3M 5AG

## Important Information

Before completing this form, we recommend that you read the Terms and Conditions issued with this form.

All investments must meet the minimum investment levels as specified in the Prospectus, or the Key Investor Information Document.

If you are submitting your Regular Investment application with less than 10 working days before the next collection date, then please submit a cheque for the first payment. The first payment by cheque will be applied as immediate investment and subsequent investments will be collected via the monthly collection on the 6th of each month.

Direct Debit collections are made on the sixth of each month, or the first working day thereafter, and invested on the next valuation date. No interest will be paid in the interim.

Your cheque should be made payable to 'Waystone Management (UK) Limited'. If payment is made using a banker's draft or building society cheque, the issuer must endorse the cheque confirming that the funds have been drawn from an account in your name. Failure to do so may result in your application being rejected. Lump sum investors may also make direct payments into the appropriate bank account below.

### STERLING PAYMENTS ONLY

Barclays Bank Plc

Account: Waystone Management (UK) Limited Corporate Account

Account Number: 30290122

Sort Code: 20-67-59

Swift Code: BARCGB22

# Application Form

To be used for all individual investment applications and submitted with the relevant Self-Certification form. For non-individual investments, please complete the form on the next page. Please note that if you are resident outside the United Kingdom additional eligibility checks may be required before an application can be accepted.

## First Holder – personal details (please complete in BLOCK CAPITALS)

Please provide separate details for each joint or designated applicant. Joint applicants must each sign. In the case of joint holders, all payments and correspondence will be sent to the first named holder.

Title (Mr/Mrs/Other):  Surname:   
Forename(s):

## Permanent UK address

Address line 1:   
Address line 2:   
Town or city:   
County:   
Country:   
Postcode:   
Email address:

Please tick here if you do not have an email address

Daytime telephone number:   
Work telephone number:   
Home telephone number:   
Existing account number (if applicable):

Nationality:  Gender:

Town & country of residence:

Date of birth:

Place of birth (town or city):

Country of birth:

National Insurance number:\*

or Tax Identification Number:\*\*

Please tick here if you do not have a National Insurance number:

\* You should be able to find your NI number on a payslip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the DWP, or pension order book.  
\*\* Only if available, not all countries operate a system of Tax Identification Numbers.



## Application Form continued

To be used for all individuals' investment applications.

Please note that if you are resident outside the United Kingdom additional eligibility checks may be required before an application can be accepted.

### Second Holder – personal details (please complete in BLOCK CAPITALS)

Please provide separate details for each joint or designated applicant. Joint applicants must each sign. In the case of joint holders, all payments and correspondence will be sent to the first named holder.

Title (Mr/Mrs/Other):

Surname:

Forename(s):

### Permanent UK address

Address line 1:

Address line 2:

Town or city:

County:

Country:

Postcode:

Email address:

Daytime telephone number:

Work telephone number:

Home telephone number:

Existing account number (if applicable):

Nationality:

Gender:

Town & country of residence:

Date of birth:

D	D	M	M	Y	Y	Y	Y
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Place of birth (town or city):

Country of birth:

National Insurance number:\*

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or Tax Identification Number:\*\*

Please tick here if you do not have a National Insurance number:

\* You should be able to find your NI number on a payslip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the DWP, or pension order book.

\*\* Only if available, not all countries operate a system of Tax Identification Numbers.

## Application Form continued

To be used for all non-individual investment applications and submitted with the relevant Self-Certification form. (We do not recognise, nor will we accept applications made by or on behalf of Bare Trusts.)

### Details (Please complete in BLOCK CAPITALS)

Please provide separate details for each joint or designated applicant. Joint applicants must each sign. In the case of joint holders, all payments and correspondence will be sent to the first named holder.

Applicant Name (Company, Charity, Trust etc):	<input type="text"/>
Company, Charity, other reference number:	<input type="text"/>
FCA/Regulator Reference (if applicable):	<input type="text"/>
Regulatory Body (if applicable):	<input type="text"/>
Registered Address:	<input type="text"/>
Postcode:	<input type="text"/>
Correspondence/Branch Address:	<input type="text"/>
Postcode:	<input type="text"/>
Telephone Number(s):	<input type="text"/>
Contact Name(s):	<input type="text"/>
Designation (if applicable):	<input type="text"/>
Email Address:	<input type="text"/>



## Application Form continued

### Anti-Money Laundering Requirements

To enable us to meet our obligations under anti-money laundering regulations and requirements we need you to provide the following verification evidence as applicable:

**Documents must be original or certified copies (self-certified documents will not be accepted)**

	Tick if enclosed
Certificate of Incorporation	<input type="checkbox"/>
Articles & Memorandum of Association	<input type="checkbox"/>
Authorised Signatory List (and signing mandate, if applicable)	<input type="checkbox"/>
Certificate of Incorporation on change of name (if applicable)	<input type="checkbox"/>
Directors – list of all names, addresses and dates of birth	<input type="checkbox"/>
Directors – identity and addresses verification documents	<input type="checkbox"/>
Trust Applications – names and addresses of all trustees, settlors, beneficiaries and protectors/controllers (with identity and address evidence, where appropriate – you may need to ask about this)	<input type="checkbox"/>
Pension Schemes – confirmation of HMRC/Pension Regulator authorisation	<input type="checkbox"/>
<b>Shareholders owning or controlling 25% or more of the shares or voting rights of the applicant</b>	
Please append details of all shareholders or confirm N/A	<input type="checkbox"/>
Please enclose verification evidence for all shareholders	<input type="checkbox"/>

The above is not exhaustive; WMUK reserves the right to request further evidence considered necessary to comply with all applicable anti-money laundering regulations and requirements. Failure to provide information that WMUK has requested may result in delays in registering or redeeming your investment. WMUK will not be liable for any delays (including the release of redemption proceeds) losses or costs that may arise as a result of failure to provide such information. If in doubt about our requirements, please contact us.

You may wish to contact us prior to submitting your account opening request to clarify the anti-money laundering evidence required for the type of account structure held by you.

For details of the documents we accept for the verification of address and identity please refer to our guide available on our website [www.waystone.com](http://www.waystone.com).

## Investor Profile and FSCS Levy Categorisation

To assist us in ensuring we meet our obligations to ensure our funds meet investors' needs and to facilitate compliance with Financial Services Compensation Scheme ('FSCS') levy obligations (on us), please confirm the type of entity making the investment:

	Tick as appropriate
1. A supranational institution, government or central administrative authority	<input type="checkbox"/>
2. A provincial, regional, local or municipal authority	<input type="checkbox"/>
3. A collective investment scheme or alternative investment fund (or by the operator or depositary of such a scheme on its behalf)	<input type="checkbox"/>
4. An insurance company, bank or other regulated firm acting on its own account	<input type="checkbox"/>
5. A regulated firm or nominee thereof acting on behalf of its clients*	<input type="checkbox"/>
<b>If you have ticked 5, please indicate the approximate % of those clients who would be "eligible claimants" for FSCS purposes.</b>	<input type="text" value=""/>
6. A pension or retirement fund (or trustee thereof) <b>If you have ticked the previous question, please also indicate whether:</b>	<input type="checkbox"/>
a. The scheme is a personal pension scheme or stakeholder pension scheme which is not an occupational pension scheme	<input type="checkbox"/>
b. The scheme is an occupational pension scheme whose member benefits are money-purchase benefits	<input type="checkbox"/>
c. The investment is in respect of an occupational pension scheme on behalf of an employer which is not a large company, large partnership or large mutual association**†	<input type="checkbox"/>
d. The scheme is not any of the above	<input type="checkbox"/>
7. A corporate body (other than the above) <b>If so, please tick if the entity is a "large company"***†</b>	<input type="checkbox"/>
8. A partnership (other than the above) <b>If so, please tick if the partnership is a "large partnership"***†</b>	<input type="checkbox"/>
9. A mutual association (other than the above) <b>If so, please tick if the mutual association is a "large mutual association"***†</b>	<input type="checkbox"/>
10. A trust, other than one relating to a collective investment scheme or pension scheme	<input type="checkbox"/>
11. An entity type not falling within any of the above <b>Please provide a description if you have selected this option:</b>	<input type="checkbox"/>
<b>Please ALSO indicate if the investment is by:</b>	
12. A charity	<input type="checkbox"/>
13. Other not-for-profit organisation <b>Please provide a description if you have selected this option:</b>	<input type="checkbox"/>

\* Please ensure that you update this information should it appear to you to be no longer correct.

† The terms "large company", "large partnership" and "large mutual association" are to be read as defined in the Glossary to the FCA Handbook of Rules and Guidance.



# Individual Tax Residence Self-Certification Form

Please read these instructions before completing both sides of the form.

UK tax regulations require us to collect information about each investor's tax residence status. If you have any questions about your tax residence, please contact your tax adviser.

If your tax residence (or that of the account holder, if you are completing the form on his or her behalf) is located outside the United Kingdom, we may be obliged to pass on the information in this form and other financial information with respect to your financial accounts to HM Revenue & Customs. We may also be required to do this if we do not receive a valid, completed Self Certification form from you.

We shall treat the information on this form as valid and correct unless we are informed of a change in circumstances relating to the account holder's tax status or other fields included on this form.

Please fill in this form if you are an individual account holder, sole trader or sole proprietor.

For joint or multiple account holders, please complete a separate form for each individual person. If you are filling in this form on behalf of someone else then please tell us in what capacity you are signing in Part 3.

Please complete all sections in BLOCK CAPITALS and as directed.

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## Part 1 – Identification of Individual Account Holder

### NAME OF ACCOUNT HOLDER:

Family Name or Surname(s):

Title:

First or Given Name:

Middle Name(s):

### CURRENT RESIDENCE ADDRESS:

Line 1 (e.g. House/Apt/Suite Name, Number, Street):

Line 2 (e.g. Town/City):

Line 3 (e.g. Province/County/State):

Country:

Postal Code/ZIP Code:

Date of Birth:

D	D	M	M	Y	Y	Y	Y
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PLEASE COMPLETE PARTS 2 AND 3 OVERLEAF

# Individual Tax Residence Self-Certification Form continued

## Part 2 – Country of Residence for Tax Purposes and related Taxpayer Identification Number (“TIN”) or equivalent number

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder’s TIN for each country indicated. For UK investors this would be your National Insurance Number or alternatively your Unique Taxpayer Reference (UTR).

If the account holder is a U.S. person or resident, please include United States in this table along with his/her U.S. Tax Identification Number. Please note this is mandatory or the form will be rejected.

If the account holder is tax resident in more countries than allowed for in the table below please use a separate sheet.

	Country of tax residence (and citizenship if U.S.)	TIN	Reason	Explanation
1				
2				
3				
4				
5				

**Reason A** The country where the account holder is liable to pay tax does not issue TINs to its residents

**Reason B** The account holder is otherwise unable to obtain a TIN or equivalent number

**Reason C** No TIN is required. (Note: only select this reason if the authorities of the country of tax residence entered above do not require the TIN to be disclosed)

Guidance on the issuance and use of TINs in selected jurisdictions can be found by visiting the following web address:  
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

If the account holder is not resident in any country for tax purposes, please tick this box:

## Part 3 – Declarations and Signature

### DECLARATION:

I confirm that I am the account holder (or am authorised to sign for the account holder) of all the account(s) to which this form relates.

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.

I understand that the information supplied by me is, covered by the full provisions of the terms and conditions governing the account holder’s relationship with Waystone Management (UK) Limited, including those setting out how it may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the account holder and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is maintained and exchanged with tax authorities of another country or countries in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I agree to notify Waystone Management (UK) Limited as soon as practicable and in any event within 30 days if the information in this self-certification changes.

Name (please print full name):

Signature:  Date: 

D	D	M	M	Y	Y	Y	Y
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Note: If you are not the account holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity:

# Entity Self Certification

Please read these instructions before completing all relevant parts of the form.

UK Tax Regulations require us to collect certain information about the tax residency and tax classification of each relevant investor (referred to in those regulations and hereafter as an “account holder”).

If you have any questions about the account holder’s tax residency or classification, please contact a tax adviser or the appropriate tax authority. You can also find out more information on the HM Revenue & Customs and OECD websites (see the Glossary of Terms for the web address).

Should any information provided by you on this form change you must advise us of the change(s) as soon as practicable and in any event within 30 days of the relevant change. We will treat the information on this form as valid and correct unless we are informed by you of a change in circumstances relating to the account holder’s tax status or other fields included on this form.

If it appears to us from the information provided on this form that the account holder is tax resident outside the United Kingdom, we may be obliged to pass on the information in this form and other information in respect of the account holder’s financial accounts to HM Revenue & Customs.

You can find definitions of who is classified as an account holder, and selected other terms (italicised in this form), in the Glossary of Terms.

A UK branch of an entity is treated as an Entity in its own right for the purposes of the Tax Regulations and, therefore, this form should be completed with details of the UK branch, and not that of its parent.

Individual account holders or sole traders should complete an Individual Self Certification form rather than this form.

Please complete all sections below and overleaf in BLOCK CAPITALS and as directed.

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## Part 1 – Identification of Account Holder

### A. LEGAL NAME OF ENTITY/BRANCH

### B. CURRENT ADDRESS:

Line 1 (e.g. House/Apt/Suite Name, Number, Street):

Line 2 (e.g. Town/City):

Line 3 (e.g. Province/County/State):

Country:

Postal Code/ZIP Code:

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## Part 2 – Country of residence for tax purposes and related Taxpayer Identification Number (“TIN”) or functional equivalent

Please complete the following table indicating (i) where the account holder is tax resident (i.e. where they are liable to pay tax) and (ii) the account holder’s TIN for each country indicated.

	Country of tax residence	TIN	If no TIN available, please explain why this is the case
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please provide the Global Intermediary Identification Number (GIIN)

Please see overleaf for Parts 3 – 5

## Entity Self Certification continued

### Part 3 – Entity classification under FATCA

Only complete this Part if U.S. residence has been indicated in Part 2. All account holders are required to complete Part 4. Please tick one box only with reference to the account holder's U.S. tax residency stated previously.

#### CLASSIFICATION

Please tick one box only

- |  |                          |
|--|--------------------------|
| 1. UK Financial Institution or a Partner Jurisdiction Financial Institution              | <input type="checkbox"/> |
| 2. Participating Financial Institution   | <input type="checkbox"/> |
| 3. Non-Participating Financial Institution   | <input type="checkbox"/> |
| 4. Financial Institution resident in the USA or in a U.S. Territory                      | <input type="checkbox"/> |
| 5. Deemed Compliant Financial Institution (not being one of those listed in 1 – 4 above) | <input type="checkbox"/> |
| 6. Exempt Beneficial Owner   | <input type="checkbox"/> |
| 7. Active Non-Financial Foreign Entity   | <input type="checkbox"/> |
| 8. Passive Non-Financial Foreign Entity*   | <input type="checkbox"/> |

\* A Passive Non-Financial Entity will be required to submit Individual Self Certification forms for each of its Controlling Persons.

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### Part 4 – Entity classification under the EU Directive on Administrative Co-operation (the “DAC”) and the OECD Common Reporting Standard (the “CRS”)

To be completed by ALL Entities.

- |   |                          |
|---|--------------------------|
| 1. Financial Institution – Investment Entity  |                          |
| a) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution                      | <input type="checkbox"/> |
| b) Other Investment Entity  | <input type="checkbox"/> |
| 2. Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company                               | <input type="checkbox"/> |
| 3. Active Non-Financial Entity  |                          |
| a) A corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation | <input type="checkbox"/> |
| b) A Government Entity  | <input type="checkbox"/> |
| c) An International Organisation  | <input type="checkbox"/> |
| d) Active Non-Financial Entity – other than one of those at (a) to (c)  | <input type="checkbox"/> |
| 4. Passive Non-Financial Entity   | <input type="checkbox"/> |

Note: if ticking this box please also:

- Indicate the name of any Controlling Person(s) of the account holder here (please continue on a separate sheet if necessary); and

- Complete “Individual Self Certification form” for each Controlling Person.

Please see overleaf for Part 5

## Entity Self Certification continued

### Part 5 – Declaration and Signature

- I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.
- I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the account holder's relationship with Waystone Management (UK) Limited, including those setting out how it may use and share the information supplied by me.
- I acknowledge that the information contained in this form and information regarding the account holder and its accounts may be reported to the tax authorities of the country in which the account(s) is maintained and exchanged with tax authorities of another country or countries in which the account holder may be tax resident in pursuant to intergovernmental agreements to exchange Financial Account information.
- I certify that I am authorised to sign for the account holder in respect of all the account(s) to which this form relates.
- I undertake to advise Waystone Management (UK) Limited within 30 days of any change in circumstances which affects my tax residency status classification or causes the information contained herein to become incorrect, and to provide it with a suitably updated self certification and Declaration within 30 days of such change in circumstances.

Name (please print full name):

Signature:

Date:

D	D	M	M	Y	Y	Y	Y
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Position of signatory (e.g. Director/Secretary):

On behalf of (Entity name):

Please see the subsequent section for Glossary of Terms

## Entity Self Certification continued

### Glossary of Terms

Note: These are selected definitions provided only as a guide to assist you with the completion of this form. Further details can be found on the CRS and FATCA at the following:

- <https://www.gov.uk/guidance/automatic-exchange-of-information-account-holders>

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#### Definitions common to FATCA and CRS

##### 1. Tax Regulations

The term “tax regulations” refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA<sup>2</sup>), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information<sup>2</sup>.

##### 2. FATCA and CRS

###### FATCA

FATCA regulations in sections 1471 to 1474 of the U.S. Internal Revenue Code and the Treasury regulations and official guidance issued thereunder, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

###### CRS

The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

##### 3. Non-Profit Organisation

An entity that meets ALL of the following criteria:

- a) 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;
- b) it is exempt from income tax in its country of residence;
- c) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- d) 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
- e) 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.

##### 4. Controlling Persons

The term “Controlling Persons” means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

###### Control

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A “control ownership interest” depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25 per cent). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

#### Classifications under FATCA<sup>2</sup>

##### 5. Financial Institution

The term “Financial Institution” means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA<sup>2</sup>. Please see the relevant Tax Regulations<sup>1</sup> for the classification definitions that apply to Financial Institutions.

##### 6. Partner Jurisdiction Financial Institution

A Partner Jurisdiction Financial Institution includes (a) any Financial Institution resident in the UK, but excluding any branches of such Financial Institution that are located outside the UK and (b) any UK branch of a Financial Institution not resident in the UK. For these purposes, “Partner Jurisdiction” means any jurisdiction that has in effect an agreement with the U.S. to facilitate the implementation of FATCA<sup>2</sup>.

##### 7. Non-IGA Jurisdiction

A non-IGA Jurisdiction is one where there is no Model 1 or 2 Intergovernmental Agreement in place with the U.S. in respect of FATCA<sup>2</sup>.

## Entity Self Certification continued

### Glossary of Terms continued

#### 8. Non-Participating Foreign Financial Institution (NPFPI)

The term "Non-participating Foreign Financial Institution" means a non-participating FFI, as that term is defined in relevant U.S. Treasury Regulations, but does not include a United Kingdom Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution identified as a Non-participating Financial Institution pursuant to a determination by IRS or HMRC that there is significant non-compliance with FATCA<sup>2</sup> obligations.

#### 9. U.S. Territory

This term means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the U.S. Virgin Islands.

#### 10. Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- a) a UK Governmental Organisation;
- b) 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);
- c) a Central Bank; or
- d) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA<sup>2</sup>.

#### 11. Deemed Compliant Foreign Financial Institution

The term "Deemed Compliant Foreign Financial Institution" means

- a) those entities classified as such in Annex II of the UK IGA, which includes Non-profit Organisations<sup>3</sup> and Financial Institutions<sup>5</sup> with a Local Client Base; or
- b) entities which otherwise qualify as such under the FATCA<sup>2</sup> Regulations.

#### 12. Active Non-Financial Foreign Entity (NFFE)

An Active NFFE is any Non-Financial Foreign Entity<sup>14</sup> that meets one of the following criteria:

- a) less than 50 per cent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 per cent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity<sup>15</sup> of an Entity the stock of which is traded on an established securities market;
- c) the NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;

d) the NFFE is a non-U.S. government, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;

e) substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as 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 NFFE<sup>13</sup>;

f) the NFFE 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 NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;

g) the NFFE 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;

h) the NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity<sup>15</sup> provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

i) the Entity is a Non-Profit organisation<sup>3</sup>; or

j) the NFFE is an "Excepted NFFE" as described in relevant U.S. Treasury Regulations.

#### 13. Passive Non-Financial Foreign Entity (PNFFE)

A Passive NFFE is any Non-Financial Foreign Entity<sup>14</sup> that is not an Active NFFE<sup>12</sup>.

#### 14. Non-Financial Foreign Entity (NFFE)

The term "NFFE" means any non-U.S. Entity that is not treated as a Financial Institution<sup>5</sup>.

#### 15. Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote or value in an entity.

#### 16. U.S. Persons

The term 'U.S. person' means:

- a) a citizen or resident of the United States;



## Entity Self Certification continued

### Glossary of Terms continued

- b) a partnership created or organised in the United States or under the law of the United States or of any state, or the District of Columbia;
- c) a corporation created or organised in the United States or under the law of the United States or of any state, or the District of Columbia;
- d) any estate or trust other than a foreign estate or foreign trust (see Internal Revenue Code section 7701(a)(31) for the definition of a foreign estate and a foreign trust);
- e) a person that meets the substantial presence test;
- f) any other person that is not a foreign person.

#### 17. Specified U.S. Person

The term 'specified U.S. person' means any U.S. person other than:

- a) a corporation the stock of which is regularly traded on one or more established securities markets for a calendar year;
- b) any corporation which is a member of the same expanded affiliated group as a corporation the stock of which is regularly traded on one or more established securities markets for the calendar year;
- c) any organisation exempt from taxation under U.S. federal tax law or an individual retirement plan;
- d) the United States or any wholly owned agency or instrumentality thereof;
- e) any state, the District of Columbia, any U.S. territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- f) any bank incorporated and doing business under the laws of the United States (including laws relating to the District of Columbia) or of any state thereof;
- g) any real estate investment trust;
- h) any regulated investment company, or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940;
- i) any common trust fund;
- j) any trust that is exempt from tax or is deemed a charitable trust;
- k) a dealer in securities, commodities, or derivative financial instruments that is registered as such under the laws of the United States or any state;
- l) a broker;
- m) any tax exempt trust under a tax exempt or public school annuity plan or governmental plan.

### Classifications under CRS

#### 18. Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity<sup>23</sup>, or a Specified Insurance Company.

#### 19. Non-Reporting Financial Institution

The term "Non-Reporting Financial Institution" means any Financial Institution which is:

- a) a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in (a) or (b) above, and is included in the list of Non-Reporting Financial Institutions provided to the European Commission by the UK;
- d) an Exempt Collective Investment Vehicle; or
- e) a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

#### 20. Related Entity

An Entity is a "Related Entity" of another Entity if (i) either Entity controls the other Entity; (ii) the two Entities are under common control; or (iii) the two Entities are Investment Entities, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote and value in an Entity.

#### 21. Active Non-Financial Entity (NFE)

The term "Active NFE" means any NFE<sup>22</sup> that meets any of the following criteria:

- a) less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income 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;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity<sup>19</sup> of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) 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<sup>17</sup>, except that an Entity does not qualify

## Entity Self Certification continued

### Glossary of Terms continued

for this status if the Entity functions (or holds itself out) as 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<sup>21</sup>;

- e) 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<sup>17</sup>, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution<sup>17</sup> 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<sup>17</sup>;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions<sup>17</sup>, 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<sup>17</sup>, or
- h) the Entity is a non-profit organisation<sup>3</sup>.

#### 22. Passive Non-Financial Entity (PNFE)

A Passive NFE is any Non-Financial Entity<sup>22</sup> that is not an Active NFE, or an Investment Entity<sup>23</sup> that is not a Participating Jurisdiction<sup>24</sup> Financial Institution<sup>17</sup>.

#### 23. Non-Financial Entity (NFE)

The term "NFE" means any Entity that is not a Financial Institution<sup>17</sup>.

#### 24. Investment Entity

The term "Investment Entity" means any Entity:

- a) which 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 subparagraph A(6)(a) of the EU Directive on Administrative Co-operation 2014/107/EU.

An Entity is treated as primarily conducting as a business one or more of the activities described in subparagraph A(6)(a), or an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of subparagraph A(6)(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 that Entity meets any of the criteria in subparagraphs D(8)(d) through (g) of the EU Directive on Administrative Co-operation 2014/107/EU.

This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution<sup>17</sup>" in the Financial Action Task Force Recommendations.

#### 25. Participating Jurisdiction

The term "Participating Jurisdiction" means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.

## Investment Details

Enter the amount you wish to invest and the details of the payments. Please note that the amounts should be after adviser charges have been deducted.

Single Investment £  .  Regular Investment £  .

Direct Debit start date\*

### IMPORTANT

\* Please select a month and year you would like regular investments to start. Direct Debit collection date is the 6th of each month only. Direct Debits take at least 10 days to set up, so please allow enough time.

### Fund selection

Fund Name	Inc/Acc	Single Investment (minimum £500)	Regular Investment (minimum £50)	R* Share Class (advised)	A† Share Class (non-advised)
WS Prudential Risk Managed Active 1	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 2	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 3	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 4	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 5	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 1	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 2	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 3	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 4	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 5	<input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>

### IMPORTANT

\* Only select if advice has been provided. Please note that only Accumulation shares are available.

† Only select if no advice has been provided.

Holders of Income shares are entitled to be paid the distributable income attributed to such shares on any relevant interim and annual allocation dates.

Holders of Accumulation shares are not entitled to be paid the income attributed to such shares, but that income is automatically transferred to (and retained as part of) the capital assets of the relevant sub-fund on the relevant annual accounting dates. This is reflected in the price of an Accumulation share.

## Income Information

### Payment of Income

This section is applicable to the A share class only.

Please tick as appropriate: I wish for any income to be reinvested on my behalf   
I wish for any income to be paid to the below bank details

#### TO THE MANAGER

Bank/building society:

Address:

Postcode:

Account holder name(s):

Account number:  Sort code:

If you have any queries please phone 0344 335 8936 (lines are open 8:30 am to 5:30 pm Monday to Friday). For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Waystone Management (UK) Limited' if appropriate, to: Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF

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## 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:

Waystone Management (UK) Limited  
PO Box 389  
Darlington DL1 9UF

Service user number  
4 3 2 6 6 8

Name(s) of account holder(s)

Reference

Bank/building society account number

### Instruction to your bank or building society

Please pay Waystone Management (UK) 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 Waystone Management (UK) Limited and, if so, details will be passed electronically to my bank/building society.

Branch sort code

Name and full postal address of your bank or building society

To: The Manager                      Bank/building society

Address

Signature(s)

Postcode

Date    D D M M Y Y Y Y

Banks and building societies may not accept Direct Debit Instructions for some types of account



This guarantee should be detached and retained by the Payer

### The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Waystone Management (UK) Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Waystone Management (UK) 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 Waystone Management (UK) 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 Waystone Management (UK) 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.



## How You Want to Pay Your Adviser

Please tell us what you want to pay to your adviser. We will use the information you provide in this section to pay your adviser.

By signing the declaration on page 20 of this form you are:

- agreeing to the payment of the Adviser Charges as set out in Parts a, b and/or c; and
- authorising us to accept all future instructions from your adviser for payment of Adviser Charges that you have agreed to pay them from your product.

You do not need to complete the information in Parts a, b and/or c if:

- your adviser is billing you directly for their services; or
- your adviser is not charging you for their services.

### Part a: Regular Investment Set-up Adviser Charge

Complete this section if you will be making regular investments to your plan and have agreed a charge for advice with your adviser.

On each amended regular investment amount, a different adviser charge value and duration may be applicable.

Every amendment to a regular investment is classed as a separate tranche on your account for adviser charging purposes. Therefore please give details of each new and existing tranche in the section below.

Spread payment of Regular Investment Set-up Adviser Charge (please complete one of the following options)

£      a month for   months on £     of the regular investment amount  
 and  
 £      a month for   months on £     of the regular investment amount

OR

£      a month for   months on £     of the regular investment amount  
 and  
 £      a month for   months on £     of the regular investment amount

### Part b: Single Investment Set-up Adviser Charge

Complete this section if you will be making a single investment to your plan and have agreed a charge for advice with your adviser.

Please state the amount of Adviser Charge as either a monetary amount or percentage.

Single payment of £          •   or  %

If you have any queries please phone 0344 335 8936 (lines are open 8:30 am to 5:30 pm Monday to Friday). For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Waystone Management (UK) Limited' if appropriate, to: Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF



## How You Want to Pay Your Adviser continued

### Part c: Ongoing Adviser Charge

Complete this section if you have agreed to pay your adviser for ongoing advice.

The Ongoing Adviser Charge can be either a set amount or a percentage of your product.

#### 1. SET AMOUNT

£  .  every month    £  .  every year

£  .  every quarter    £  .  every half-year

OR

#### 2. PERCENTAGE

% of your product (this percentage can be taken once a year or split across a different time period)

Yearly     Half Yearly     Quarterly     Monthly

If Ongoing Adviser Charges are requested as a percentage of the full value of your plan, the total amount of Ongoing Adviser Charge will automatically increase if any additional premiums are paid into the plan.

Ongoing Adviser Charges will be calculated and deducted proportionally across all eligible funds.

If you have any queries please phone 0344 335 8936 (lines are open 8:30 am to 5:30 pm Monday to Friday). For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Waystone Management (UK) Limited' if appropriate, to: Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF

## Regular Withdrawal Facility

Complete this section if you want to make a regular withdrawal from your investment.

Please specify how much you want each amount to be. For example, if you want to withdraw £100 each month (£1,200 per year) cross the monthly box and write £100 in the amount box.

£

Please indicate the date and month you would like payments to commence†

or

Please indicate how often you wish to make withdrawals‡ Yearly  Half Yearly  Quarterly  Monthly

Complete this section if you want to make a regular withdrawal from your investment.

Please indicate if you want to make:

Withdrawals to be taken proportionately across funds

Withdrawals to be taken across specific funds within the product  If you tick this box, please complete the table below

Please indicate which funds you wish to make your withdrawals from. You can only withdraw a monetary amount from the fund.

Fund Name	Inc/Acc	Amount	R** Share Class (advised)	A†† Share Class (non-advised)
WS Prudential Risk Managed Active 1	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 2	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 3	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 4	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Active 5	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 1	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 2	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 3	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 4	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
WS Prudential Risk Managed Passive Fund 5	<input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>

**IMPORTANT**

† This date must be no sooner than 30 days from your initial investment.

‡ Please note that if you do not select a frequency, a default of 'Monthly' will be selected for you.

Please note that you cannot elect to have a Regular Withdrawal facility if you have a Regular Investment facility and vice versa.

\*\* Only select if advice has been provided. Please note that only Accumulation shares are available.

†† Only select if no advice has been provided.

## Regular Withdrawal Information

Please provide information of the account that you wish to receive regular withdrawal payments. Please only complete if these bank details are different to those on page 15.

The regular withdrawal will be paid directly to your account by BACS.

### TO THE MANAGER

Bank/building society:

Address:

Postcode:

Account holder name(s):

Account number:

Sort code:

If you have any queries please phone 0344 335 8936 (lines are open 8:30 am to 5:30 pm Monday to Friday). For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Waystone Management (UK) Limited' if appropriate, to: Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF

## Adviser's Declaration

Please ensure you have completed this box.

If you have not given advice in respect of this investment, please tick here . Otherwise we will assume that advice has been given.

I accept that this application is governed by Waystone Management (UK) Limited Terms of Business, a copy of which has been or will be supplied to me.

I hereby indemnify Waystone Management (UK) Limited for any loss suffered should it subsequently be discovered that the applicant was entitled to cancellation rights and no cancellation notice was sent as a result of the undernoted.

I confirm that the applicant named in this application is entitled to cancellation rights under the Conduct of Business (Cancellation) Rules.

- I confirm I have undertaken money laundering checks in line with the current regulations and confirm that on reasonable request we will provide Waystone Management (UK) Limited copies of all evidence gathered to meet such requirements.
- I confirm that I have enclosed the certification documents (Intermediaries are required to provide the KYC/AML certification).
- I confirm that the sort code, account number and account name was obtained and verified by us in relation to the applicant.

Adviser's name:	<input type="text"/>
Company address:	<input type="text"/> Postcode: <input type="text"/>
Firm Reference Number (FRN)*:	<input type="text"/> (for example: 123456)
Individual Reference Number (IRN)*:	<input type="text"/> (for example: ABD123456)
Telephone number:	<input type="text"/>
Mobile number:	<input type="text"/>
Fax number:	<input type="text"/>
Email address:	<input type="text"/>

\* If you require any guidance for FRN and IRN, please visit the FCA register at [www.fca.org.uk](http://www.fca.org.uk).

### IMPORTANT

The adviser must send in a verification of identity form along with this application to ensure no delays are encountered when carrying out future transactions.

## Investor Declaration

**Please note:** This application when accepted by Waystone Management (UK) Limited will constitute a binding contract and be evidenced by the issue of a contract note or allocation letter. No other acknowledgement will be issued at the time of application and only in the event of a query will there be further communication.

**Please note:** Waystone Management (UK) Limited reserves the right to request the original documentation at its discretion which you are obliged to promptly provide.

The terms and conditions are available on the Waystone Management (UK) Limited website: [www.waystone.com](http://www.waystone.com), and are also available on request from contacting Waystone Management (UK) Limited on the contact details below.

**Data Protection Regulations:** For information about how we process the personal data on this form, including collection, use, retention and disclosure, please refer to our Privacy Notice available at [www.waystone.com](http://www.waystone.com). If you have any questions, queries or comments please contact the Data Protection Officer by email on [dataprotection@waystone.com](mailto:dataprotection@waystone.com) or by post to Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF.

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**Permission to deal with your professional adviser:** Please tick the box below to indicate that you wish for us to send information about your investment to your professional adviser.

(Please note – if you do not tick the box above your application will be processed on the basis that you do not wish to have information about your investment sent to your professional adviser.)

---

**Declaration:** To be completed by the applicant. I confirm that I have received, read and understood or had satisfactorily explained the Key Investor Information Document that has been provided to me. I am aware that the Prospectus and the latest Annual and if more recent Interim Fund Reports are available free of charge and I confirm that I have accessed them to the extent I believe necessary. I request and authorise Waystone Management (UK) Limited to act in accordance with my instructions.

Full name:	<input type="text"/>		
Signature:	<input type="text"/>	Date:	<input type="text"/>
Full name:	<input type="text"/>		
Signature:	<input type="text"/>	Date:	<input type="text"/>

If you have any queries please phone 0344 335 8936 (lines are open 8:30 am to 5:30 pm Monday to Friday). For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Waystone Management (UK) Limited' if appropriate, to: Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF

## Summary

**To avoid delays in processing your application, please ensure you have:**

Completed all relevant sections of this application form, and that you and your adviser (if appropriate) have signed all the relevant sections.

For all non-advised investors: enclosed original or certified copies of your proof of address and bank account details.

Enclosed a cheque for regular investment set-up (if the next collection date is in less than 10 days).

Enclosed all anti-money laundering verification documents (for advisers only).

Acceptance of the Terms and Conditions: Please tick the box to confirm you accept the Terms and Conditions that are available at [www.waystone.com](http://www.waystone.com).