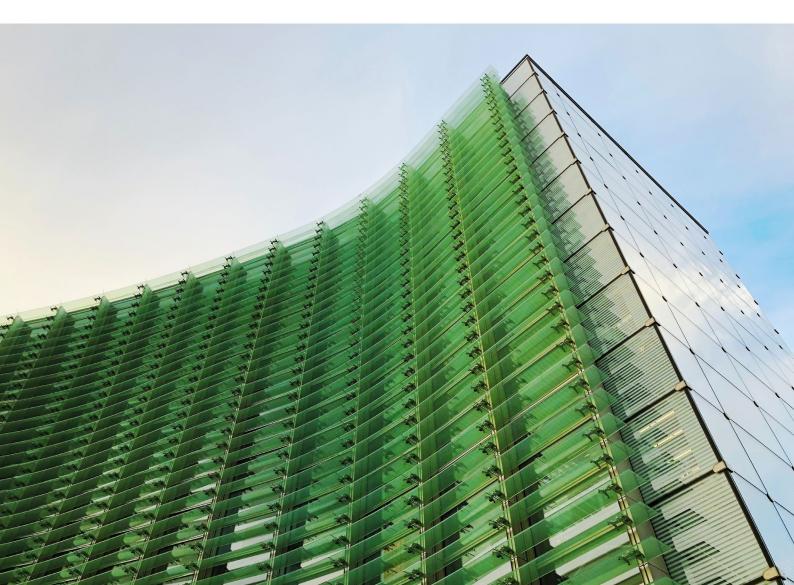


# WS Epworth Investment Funds for Charities

Additional Investor Information Document V1-10-24



# WS Epworth Investment Funds for Charities

### Sub-funds

WS Epworth UK Equity Fund for Charities

WS Epworth Global Equity Fund for Charities

WS Epworth Multi Asset Fund for Charities

WS Epworth Climate Stewardship Fund for Charities

### Manager

Waystone Management (UK) Limited ("WMUK")

All correspondents should be sent to the Transfer Agent:

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

Telephone: 0345 922 0044 (lines are open 8:30am to 5:30pm Monday to Friday) Email: wtas-investorservices@waystone.com Dealing: ordergroup@waystone.com

### Trustee

The Bank of New York Mellon (International) Limited

### Portfolio Manager

Epworth Investment Management Limited 2nd Floor 9 Bonhill Street London EC2A 4PE



Waystone Management (UK) Limited ("WMUK") is authorised and regulated by the Financial Conduct Authority, FCA Register No. 119197. The main business of WMUK is the acting as authorised fund manager of collective investment schemes. Further information in relation to WMUK may be obtained from the FCA's Financial Services Register by visiting https://register.fca.org.uk/ or by writing to the FCA at 12 Endeavour Square, London E20 1JN.

Please read the Additional Investor Information and the Terms and Conditions carefully. The Terms and Conditions replace any terms and conditions which you may have previously entered into with WMUK. It is important that you retain the Additional Investor Information and the Terms and Conditions as your rights as a Unitholder are governed by them.

The Additional Investor Information and the Terms and Conditions apply in addition to the Prospectus and the Key Investor Information Document. The Additional Investor Information and the Terms and Conditions, together with the Prospectus, Key Investor Information Document and Application Form, form our agreement with you. You should read the Prospectus of WS Epworth Investment Fund for Charities, among other things, this sets out risk warnings relevant to your investment.

The sub-funds for WS Epworth Investment Fund for Charities are only for investment by charity investors. These are defined as charities within the meaning of Section 1 of the Charities Act 2011 and Schedule 6 to the Finance Act 2010. As a CAIF itself will be a registered charity it can invest in other CAIFs. In addition, it is accepted by the Charity Commission that nominee companies can hold units in a CAIF provided the underlying investors are charities.



# Application Form

To be used for charity investment applications and submitted with the relevant declaration form.

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### Charity Details (Please complete in BLOCK CAPITALS)

1.1 Charity Name:

<b>1.2</b> Is your charity registered with the Charity Commission for England & Wales, the Office of Scottish Charity Regulator or The Charity Commission for Northern Ireland?
Yes Please go to 1.3 No Please go to 1.4
1.3 Charity's Registration Number:
Please go to 1.5
1.4 HM Revenue & Customs reference number confirming charitable status (you do not have to complete this section if you have provided a Charity Commission registration number in 1.3)
Note: correspondence from HMRC showing your charity's name, address and HMRC reference number must be supplied in order to confirm charitable status. 1.5 Does your charity have an office address?
Yes Please go to 1.6 No Please go to 1.7
1.6 Charity's Office Address:
Postcode:
General Email Address:
I agree to Waystone Management (UK) Limited retaining my email information until I request otherwise, on the understanding that data will only be used according to terms stated in our Terms & Conditions document and will be held securely.
Daytime Telephone Number:
1.7 Is your charity also registered as a limited company?
Yes Please complete sections 1.8,1.9 & 1.10 (If yes – please enclose a copy of Certificate of Incorporation.) No skip 1.8, 1.9 & 1.10
1.8 Company Registration Number:



### Application Form continued

1.9 Company Name (if different from Charity Name):

1.10 Company's Registered Address (if different from 1.6):

Postcode:

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

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.



# 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 corporate body If so, please tick if the entity is a "large company"* <sup>†</sup>	
2. A partnership If so, please tick if the partnership is a "large partnership"* <sup>†</sup>	
3. A mutual association If so, please tick if the mutual association is a "large mutual association"* <sup>†</sup>	
4. A trust	
5. An entity type not falling within any of the above Please provide a description if you have selected this option:	

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

<sup>+</sup> 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.



# Trustees and Authorised Signatories

All authorised signatories who wish to instruct on behalf of the charity for the WS Epworth Investment Funds for Charities need to provide certified copies of ID. Please see page 8.

NAME OF AUTHORISED SIGNATURE:	
Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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
NAME OF AUTHORISED SIGNATURE:	
Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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

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# Trustees and Authorised Signatories continued

NAME OF AUTHORISED SIGNATURE:	
Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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
NAME OF AUTHORISED SIGNATURE:	
Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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:	
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Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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



# Trustees and Authorised Signatories continued

#### NAME OF AUTHORISED SIGNATURE:

Title (Mr/Mrs/Other):	
Family Name or Surname(s):	
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



### Declaration

### **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/We declare that the units to which this application relates are and will at all times be held on behalf of the charity
  - a. The income of which is applied for charitable purposes only;
  - b. The charity is registered with the Charity Commission for England and Wales, the Office of Scottish Charity Regulator or The Northern Ireland Charity Commission under registered charity number

And/or it is recognised as a charity by the HMRC Revenue & Customs (Charities) under reference number


- The charity is able to invest in a sub-fund of WS Epworth Investment Fund for Charities under the Prospectus. The charity hereby indemnifies Waystone Management (UK) Limited against any liabilities and/or costs arising out of the charity ultimately being found to be ineligible.
- The persons signing are duly authorised to sign on behalf of the charity.
- I/We will inform WMUK immediately should the charity cease to qualify, at which time disinvestment from the relevant sub-fund of WS Epworth Investment Fund for Charities will be required.
- I/We authorise WMUK to make payments arising from income by direct credit transfer to the charity's bank or building society account as detailed on page 11.
- I/We give permission to WMUK for electronic identity checks to be performed on the authorised signatories listed overleaf;
- This warranty shall be deemed to be repeated in respect of each additional contribution to the sub-fund to which it relates. We will also notify WMUK in writing of any changes to the authorised signatories and shall supply details of the capacity of any new signatory along with a specimen signature.

Name (please print full name):									
Signature:		Date: D D M M Y Y Y Y							
Position of s	ignatory (e.g. Director/Secretary):								
On behalf of	(Entity name):								



### Investment Details

#### For unit class options please see the Unit Class Options page.

All investments must meet the minimum investment levels as specified in the Prospectus.

Your cheque should be made payable to 'Waystone Management (UK) Limited'. If Payment is made using a bankers draft or building society cheque, the account holder's full name **must** be printed on the front of the banker's draft. Where such endorsement is not provided, we will require you to provide evidence that the funds have been drawn on an account in your sole or joint name. Until such time that the requested evidence has been provided, we will not be able to release the proceeds of any subsequent disinvestment. In such event, we shall not be liable for any loss whether direct or indirect as a result of any failure to provide us with appropriate evidence(s) pursuant to this clause (section 2.3 in Terms and Conditions). Lump sum investors may also make direct payments in the relevant currency of the unit class, to the appropriate bank account below:

#### STERLING PAYMENTS ONLY Barclays Bank Plc

Account: Waystone Management (UK) Limited Client Account

Account Number: 30290122

Sort Code: 20-67-59

Swift Code: BARCGB22

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.

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. If you have any questions, queries or comments please contact the Data Protection Officer by email on dataprotection@waystone.com or by post to Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF.

Ongoing Monitoring: Please remember that, in order to comply with the regulations, it might be necessary for us to renew or update some or all of the information you provide in or pursuant to this form at a later date and accordingly we may ask you to provide further information (or to reconfirm information already provided) at a later date.

Declaration: To be completed by all applicants. I/we confirm that I/we have received, read and understood or had satisfactorily explained the Key Investor Information Document that has been provided to me. I/we are 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/we request and authorise Waystone Management (UK) Limited to act in accordance with my/our instructions.

Signature:	Date:	D	D	М	М	Y	Y	Y	Y
Signature:	Date:	D	D	Μ	Μ	Y	Y	Y	Y
Signature:	Date:	D	D	Μ	Μ	Y	Y	Y	Y
Signature:	Date:	D	D	Μ	Μ	Y	Y	Y	Y

If you have any queries please phone 0345 922 0044 (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



### Investment Details continued

### Payment of Income

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:

Postcode:

Account holder name(s):

Account number:

Sort code:

Sort code:

### **Payment of Redemption Proceeds**

To be completed by investors for the receipt of redemption proceeds

TO THE MANAGER	
Bank/building society:	
Address:	
	Postcode:
Account holder name(s):	
Account number: Sort code:	

If you have any queries please phone 0345 922 0044 (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



# Unit Class Options

PRODUCT TYPE	UNIT CLASS					
WS Epworth UK Equity Fund for Charities			Income A*			
Minimum Lump Sum	£1,000		£5,000,000			
Investment Amount	£	£	2			
Please delete as appropriate	Income/Accumula	ation	Income shares only in issue			
PRODUCT TYPE		UNIT CL	ASS			
WS Epworth Global Equity Fund for Charities			Income A*			
Minimum Lump Sum	£1,000		£5,000,000			
Investment Amount	£	£	2			
Please delete as appropriate	Income/Accumula	ation	Income shares only in issue			
PRODUCT TYPE	UNIT CLASS					
WS Epworth Multi Asset Fund for Charities			Income A*			
Minimum Lump Sum	£1,000	€1,000	£5,000,000			
Investment Amount	£	€	£			
Please delete as appropriate	Income/Accumulation	Inc	come shares only in issue			
PRODUCT TYPE		UNIT CL	ASS			
WS Epworth Climate Stewardship Fund for Charities		Income B	** Income A*			
Minimum Lump Sum	£1,000		£5,000,000			
Investment Amount	£	£	£			
Please delete as appropriate	Income/Accumulation	Inc	come shares only in issue			

\* Investment into Income A Unit Class is strictly limited to institutions that have entered into an agreement with the Authorised Fund Manager.

\*\* Investment into Income B Unit Class is strictly limited to investors that switched their units from the UK Equity Fund into the Class in the three months after 28 May 2020 (and have maintained their investment).

If you have any queries please phone 0345 922 0044 (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

