



# Corporate Application Form

Please complete in **BLOCK CAPITALS** and return to: **Slater Investments Limited, Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU**

This Application Form is accurate as from **06/04/21**.

**Please complete this form in its entirety.**

## 1 Details

### Corporate Entity Details

Corporate Entity Name:

Corporate Entity Type:

Limited Company     Partnership     Sole Proprietorship     Trust  
 Other - please specify: \_\_\_\_\_

Registered Office Address:

Name or Number of Property:

Address:

City:

Country:

Postcode:

Company Registration Number:

Pension Fund PSR (if applicable):

Date of Incorporation:

Country of Registration:

LEI (if within EU):

Trading Address (if different):

Name or Number of Property:

Address:

City:

Country:

Postcode:

### Corporate Investor Primary Contact

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Telephone:

Email:

Name or Number of Property:

Address:

City:

Country:

Postcode:

### Names of Directors/Partners/Trustees (If more than 3, please complete on a separate sheet and attach)

Mr/Mrs/Ms/Miss/Other:

Surname:

Current Address:

Name or Number of Property:

Address:

Full first name(s):

Male  Female  Date of Birth: DD / MM / YYYY

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country:  Postcode:

Mr/Mrs/Ms/Miss/Other:

Surname:

Current Address:

Name or Number of Property:

Address:

City:

Country:  Postcode:

Mr/Mrs/Ms/Miss/Other:

Surname:

Current Address:

Name or Number of Property:

Address:

City:

Country:  Postcode:

City:

Country:  Postcode:

Full first name(s):

Male  Female  Date of Birth:  DD / MM / YYYY

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country:  Postcode:

Full first name(s):

Male  Female  Date of Birth:  DD / MM / YYYY

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country:  Postcode:

**Details of Contact Person(s)** (If more than 2, please complete on a separate sheet and attach)

Full Name:

Email:

Telephone Number:

Authority:

Full Name:

Email:

Telephone Number:

Authority:

**Authorised Signatories** (If more than 3, please complete on a separate sheet and attach)

Full Name:

Signature:

Full Name:

Signature:

Full Name:

Signature:

**Confirmations**

- The corporate entity is not a United States registered company.
- None of the Directors/Trustees/Partners/Shareholders/Beneficial Owners/PSCs are US Persons.
- The corporate entity acts in its own name and not on behalf of a third party in respect of all matters including this account with Slater Investments Limited.

- All funds held and invested in the name of the corporate entity are its own.
- The person signing this form has the authorisation and capacity to sign this contract on behalf of the corporate entity
- Do any Directors/Trustees/Partners/Shareholders/Beneficial Owners currently hold or have within the last year held the position of a Politically Exposed Person (PEP)\*

\*If you are unsure as to whether you qualify as a PEP please read our explanation in full, which can be found in our Supplementary Investor Document (SID)

**2 Beneficial Ownership** (complete this section if the registered holder is NOT the beneficial owner)

Please list all shareholders/PSCs/beneficial owners with a holding of 25% or more

Beneficial Holder/Name	Address	Date of Birth	Signature	Holding	Date

Applicants for direct investments are required to disclose circumstances where an individual or organisation other than the investor(s) named on the application form ultimately owns or controls the investment being made. You are therefore required to make the relevant disclosure on the application and where necessary provide the full name of any additional parties who have beneficial ownership of this investment. There are additional requirements for corporate bodies, partnerships, trusts, fund administrators/distributors and estates of deceased persons. Please contact us if you would like to discuss documentary requirements.

**3 Tax Residency Information**

Tax regulations<sup>(1)</sup> require us to collect certain information about each investor’s tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with HMRC who may in turn share the information with other relevant tax authorities.

If you have any questions about your organisation’s classifications in the form below, please contact your tax adviser. Please see explanatory notes for key definitions. Should any information provided change in the future, please ensure you advise us promptly. This form is intended to request information only where such request is not prohibited by UK Law.

**1. Basic Information - You MUST complete this section**

**1.1** Please state the country in which your organisation is resident for tax purposes:

**1.2** Please provide us with your organisation’s Tax Identification Number:

**2a Organisation's Classification under FATCA - You MUST complete this section**

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

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


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

**2.7** Active Non-Financial Foreign Entity

**2.8** Passive Non-Financial Foreign Entity

(if you tick this box, you must complete Section 4 for each of your Controlling Persons)


**2b Complete this ONLY if your organisation is a US Tax Resident (box 1.1)**

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

- A regularly traded corporation on a recognised stock exchange
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion listed in Explanatory Note 16

**3 Organisation's classification under the Common Reporting Standard (CRS) - You MUST complete this section**

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

**3.1** Financial Institution (this includes Non-Reporting Financial Institutions such as a pension scheme, government entity, international organisation and other entities listed in Explanatory Note 18).

**3.2** A professionally managed Investment Entity outside of a CRS Participating Jurisdiction (If you tick this box, you must also complete Section 4 for each of your Controlling Persons)

**3.3** Active Non-Financial Entity which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation

**3.4** Active Non-Financial Entity (other than those listed in 3.3 above)

**3.5** Passive Non-Financial Entity (If you tick this box, you must also complete Section 4 for each of your Controlling Persons)


**4 Self-Certification for Controlling Persons Tax Residency - Complete this ONLY if you have ticked box 2.8 in Section 2A, box 3.2 or box 3.5 in Section 3**

Tax regulations<sup>(1)</sup> require us to collect information about each Controlling Person's tax residency<sup>(2)</sup>. In certain circumstances we may be obliged to share information about your Controlling Persons 4 with HMRC who may in turn share the information with any or all participating tax jurisdictions<sup>(3)</sup>.

Please indicate all countries in which your Controlling Persons are resident for tax purposes and their associated Tax Identification Numbers in the table below. If they are also a US citizen the United States must be included in this table along with their US Tax Identification Number(s). If you have any questions about tax residency, please contact your tax adviser.

If you are completing this section on behalf of your Controlling Persons it is your responsibility to ensure they are aware that their information may be shared as described above.

If more than 2, please complete on a separate sheet and attach.

Full Name of Controlling Person	Controlling Person Type <sup>(4)</sup>	Permanent Residence Address (inc City and County)	Date of Birth	Country(ies) of Residency	Tax Identification Number <sup>(5)</sup>

**Notes:**

(1) The term "tax regulations" refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax Compliant Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS)

(2) In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency.

(3) Those countries that have agreed to exchange information under FATCA and CRS.

(4) Please confirm what type of Controlling Person applicable under CRS that applies to you/the investor:

- A) Controlling Person of a legal person – control by ownership
- B) Controlling Person of a legal person – control by other means
- C) Controlling Person of a legal person – senior managing official
- D) Controlling Person of a trust - settlor
- E) Controlling Person of a trust – trustee
- F) Controlling Person of a trust – protector
- G) Controlling Person of a trust – beneficiary
- H) Controlling Person of a trust – other
- I) Controlling Person of a legal arrangement (non-trust) – settlor-equivalent
- J) Controlling Person of a legal arrangement (non-trust) – trustee-equivalent
- K) Controlling Person of a legal arrangement (non-trust) – protector-equivalent
- L) Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent
- M) Controlling Person of a legal arrangement (non-trust) – other-equivalent

(5) The Tax Identification Number is issued by your local tax authority. For example, in the UK this is usually your National Insurance Number.

**For further Explanatory Notes and Definitions common to FATCA and CRS, please turn to the end of the Application Form**

#### **4 Professional Adviser's Details (if applicable)**

Adviser Name:

FCA Number:

Agent Code (if known):

Please tick here if advice has been given

Please tick here if cancellation rights apply

Agent Name and Address or Stamp:

#### **5 Client Identification**

In order to comply with Anti-Money Laundering Regulations, we are required to verify the identity of both the corporate entity and the applicant(s). Please can you provide us with **all** of the following:

- Offering Memorandum and Articles of Association (or Constitutional Documentation if not a company)
- Certificate of Incorporation
- Last two years' financial statements (three months of company bank statements for non-EEA companies)
- Copy of Register of Directors/Trustees/Partners
- Copy of Register of Shareholders/Trustees/Partners
- PSC details
- Proof of Registered Address
- Proof of Trading Address (if different)
- Individual verification of Directors/Trustees/Partners
- Individual verification of shareholders/beneficial owners with a holding of 25% or more in the company entity
- Certificate of Incumbency (for applications outside the UK and EEA)

For individuals, please could you send us one document from **each** of the below categories. Slater Investments uses a system of electronic identification; the search is performed using the services of Experian, a Credit Reference Agency.

Category A - Identity Document
Current Signed Passport or Certified Copy
Driving Licence* or Certified Copy
Birth Certificate

Category B - Address Document
Utility Bill
Bank/Building Society/Financial Services Statement
Government Issued Document
Driving Licence* or Certified Copy

\* A driving licence cannot be used for both categories

For more information regarding Client Identification, please refer to our Anti-Money Laundering booklet that can be found in the Key Documents page on our website.

**Whilst we can accept original documentation, we do not advise customers to send in original copies unless it is sent through registered post. We will then return in the same manner. We are unable to accept liability for any loss or damage upon return. Alternatively a copy of the documents can be sent as long as it is signed by a certifier. The certifier must write the date, full name, address and contact telephone number.**

## 6 Funding Your Investment (tick all that apply)

**Bank Transfer**      Amount: £

All bank transfers must be paid directly to the Bank of Scotland account below, referenced with the name of the client.

Account Number: 10196669

IBAN: GB79BOFS12010310196669

Sort Code: 12-01-03

BIC: BOFSGB21254

**Cheque(s)**      Amount: £

Cheques must drawn on the corporate entity's account. The cheque must be made payable to Slater Investments Limited For a Building Society cheque or banker's draft. The corporate entity's name must appear on the front of the cheque, or on the back of the cheque accompanied by the Building Society's or Bank's official stamp and signature.

## 7 Company Bank Details

Complete this section to set up a new nominated bank account. We'll use the details below to pay any future income/withdrawals to:

Bank Name:

Account Number:

Sort Code:

Bank Address:

Country:

IBAN:

BIC:

Account Name:

## 8 Investment Selection

You may invest in one or more fund(s). The minimum subscription for each fund is detailed in the relevant Prospectus.

Fund Name	Lump Sum (£)	Regular Savings (£)
1)		
2)		
3)		

**Total:**    £                       £

If you require **income to be paid out** to you, please tick here:  Income will be paid to the applicant's bank account detailed in Section 9. For Accumulation units/shares, income will be automatically reinvested.

## 9 Declaration

• I/We acknowledge that we have read and understood Slater Investments Limited's Terms & Conditions and accept that they form the basis of the agreement between the entity listed in Section 1 and Slater Investments Limited. To the best of my/our knowledge and belief, all statements made in this application form are true and correct and I/we shall inform Slater Investments Limited immediately of any change in the corporate entity listed in Section 1's circumstances affecting any information in this form.

- I/We have read and understood the relevant Key Investor Information Document (KIID) and Supplementary Information Document (SID). I/We understand that these documents form part of the terms and conditions of an investment in the Slater Funds.
- I/We confirm that I/we have full authority to open an account with Slater Investments Limited on behalf of the entity listed in Section 1.
- I/We am/are duly authorised to sign this Application Form on behalf of the entity listed in Section 1.
- I/We confirm that I/we have read the declaration carefully.

Slater Investments Limited takes your data privacy very seriously. Under data protection legislation, we are classified as a data controller. This means that we are subject to certain obligations relating to how we process personal data. These obligations include, without limitation, providing individuals with certain information regarding how we process their data.

We will use the personal data you have provided in this Application Form, including your name, age, contact details, bank account details, transactions and the invested amount in accordance with all applicable data protection laws and our Privacy Policy, which is available at [www.slaterinvestments.com](http://www.slaterinvestments.com) (or otherwise available upon request).

Our Privacy Policy sets out, amongst other things, the purpose or purposes for which your personal data is collected and intended to be processed, and also contains any other information prescribed by data protection legislation.

Slater Investments Limited, as a data controller, will handle all your personal details in accordance with General Data Protection Regulations. From time to time we would like to send you information on other products, services and events which we offer and which we may think are of interest to you. **If you would like to receive such information please tick this box:**

You may, at any time, object to the use of your personal details and withdraw your consent for the purposes of direct marketing at any time and free of charge by writing to us by letter and/or email at the address provided in the Privacy Policy.

**Signed For and on Behalf of:**

**Signature:**

**Date:** DD / MM / YYYY

**This form will be returned if it is not signed and dated.**

## 10 Completed Form Checklist

To ensure that there will be as few issues as possible, if any, in processing your form, please make sure you have:

- Provided full registration details - **Section 1 and 2**
- Completed all tax residency information in full - **Section 3**
- Provided client identification documents - **Section 5**
- Stated your fund choice(s) and how much you wish to invest - **Section 8**
- Signed and dated the declaration - **Section 9**
- Enclosed a cheque made payable to: Slater Investments Limited (if applicable)

Up to date Key Investor Information Documents, Prospectuses and Reports & Accounts for any fund can be requested by the investor at any time or obtained from the Slater Investments Limited website ([www.slaterinvestments.com](http://www.slaterinvestments.com))

If you have any queries or need further assistance with the completion of this application form, please contact your Professional Adviser or contact **Jeremy Simmons** on **+44 (0) 207 220 9368**

Your completed Application form, together with your cheque (if applicable) should be returned to your Professional Adviser or directly to: **Slater Investments Limited, Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU**