



## Supplementary Information Document (SID)

The information contained in this document is effective from **06/04/23**.

This Supplementary Information Document (SID) provides additional useful information that you should be aware of before investing with Slater Investments Limited. It should be read in conjunction with the relevant Key Investor Information Document (KIID). The terms in this SID form part of the terms of your investment with Slater Investments Limited ("Slater") in a Slater Fund.

More information about the individual Slater Funds is available in the latest version of the full Prospectus relating to that fund, which can be found on the relevant Slater Fund page on our website: [www.slaterinvestments.com](http://www.slaterinvestments.com). Our services relate to certain investments whose prices are dependent on fluctuations in the financial markets outside our control. Investments and the income from them may go down as well as up and you may get back less than the amount you have originally invested. If, after reading this document, you have any further questions, please consult your authorised Financial Adviser in the first instance, or contact us using the details below. Please note, we cannot give you any advice as to whether a particular investment is suitable for you.

### Contact Us



General Enquiries: +44 (0) 207 2209460  
Dealing: +44 (0) 203 8931001



Slater Investments Limited  
Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU



[operations@slaterinvestments.com](mailto:operations@slaterinvestments.com)  
[www.slaterinvestments.com](http://www.slaterinvestments.com)



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### Buying and Selling Units/Shares

#### Can I buy units/shares?

You may buy units/shares in the Slater Funds if you are aged 18 or over. You may buy units/shares within an ISA, further details are given later in this document. You may invest on behalf of a child in an adult's name by designating the account for the child or by investing in a Junior ISA. The minimum investment for each fund can be found in the relevant Slater Fund Factsheet and Prospectus (which can be found on the relevant Slater Fund page on our website).

#### How do I invest?

Please complete the appropriate application form and send it by post to your Professional Adviser or to Slater Investments Limited together with payment, in the form of either a wire transfer or a sterling cheque from a UK bank made payable to Slater Investments Limited, for the full amount. You may buy further units/shares in the same way. Alternatively, you may telephone our Dealing Team on +44 (0) 203 8931001 for further information. Calls to this line may be recorded for your protection. It is important that you read the latest Key Investor Information Document (KIID) for the Slater Fund you are thinking about investing in before you make any investment or top-ups. We will ask you to confirm that you have done this before accepting an investment from you. Both the application form and the KIIDs are available on the relevant Slater Fund(s) page on our website.

#### What happens next?

We will place your deal as soon as we receive a correctly completed application form together with money to fund your investment. You will receive a contract note the next business day after the deal has been placed. This will give you all the details about your investment such as the number of units/shares you receive, the price you paid and the date your investment was made. You should keep this document safe for future reference. All of the Slater funds have a 12 midday Valuation Point.

#### Can I switch between different funds?

Yes, you may switch from one Slater Fund to another by completing our Switching Form or you may telephone our Dealing Team on +44 (0) 203 8931001. If you place the deal by telephone we will require written confirmation by post. Once we have received completed instructions from you, we will sell your existing units/shares and buy your new ones simultaneously at the next available Valuation Point. The Switching Form can be found on the Key Documents page of our website.

## How do I sell my units/shares?

You can instruct us to sell some or all of your units/shares at any time, either by writing to us (your instruction must be signed) or by calling our Dealing Team on +44 (0) 203 8931001. If you instruct us by telephone you will be required to sign and return a withdrawal form before we can pay you. This will be sent to you with your contract note, which will be sent the day after your units/shares are sold. Providing that we have received your signed confirmation we will send you the payment on the fourth business day after the Valuation Point at which the units/shares were sold. Otherwise payment will be made four business days after receipt of the confirmation.

## Swing Pricing - Single Priced Funds

We may swing the price of shares in the Fund. We will calculate the Net Asset Value (NAV) for the Fund and then, if we consider appropriate, we may swing the NAV-based single price according to the rate of the applicable dilution adjustment. The decision to swing the share price in respect of the Fund will be made following a consideration of the dealing activity (i.e. purchases or redemptions) in the Fund on that dealing day. An adjusted price will be the price of shares in the Fund for all deals that day. We will then swing the price whenever there are net purchases or net redemptions on any dealing day which exceed 0.25% of the NAV of the Fund. However, we may, in our discretion, decide not to swing the price on any day if we determine that continuing investors in the Fund will not normally be materially adversely affected. Full details are available in the relevant Fund Prospectus found in Key Documents section and on the relevant Slater Fund page at [www.slaterinvestments.com](http://www.slaterinvestments.com).

## Regular Savings

You may invest in the funds by making regular, monthly contributions by Direct Debit. The minimum amount that you may invest each month is £100. There is no maximum amount. Please complete the appropriate application form (found on the Key Documents page of our website) and send it by post to your Professional Adviser or to Slater Investments Limited together with payment for your first instalment. Your initial investment will be made at the next Valuation Point following our receipt of your application form and cleared funds. Subsequent investments will then be made on the last day of each month. Please note that payment may be taken up to 3 working days after this date. We will write to you to confirm your application and the date that your direct debit will be taken.

If you wish to cancel or change your direct debit instruction, we must receive your instruction at least five Business Days before the direct debit collection date in order for the change to be effective by your next collection. If you do not provide us with instructions to cancel your direct debit in accordance with this section, we reserve the right to cancel any relevant Shares already purchased by us on your behalf relating to the cancelled direct debit. In such circumstances, we also reserve the right to charge you for the reasonable losses, cost and expenses incurred by us or the Fund for cancelling such Shares. Any such losses, costs and expenses are payable by you to us immediately without any deductions. Alternatively, we have the absolute right of sale of Investments in your Account to meet the costs due to us or the Fund. Where we sell Investments in your Account, that sale may result in a gain or a loss for you. You must ensure you correctly account for any applicable taxes relating to that sale, including any applicable returns and payments and complying with any applicable laws and regulations. We are not responsible for any losses you incur or any tax liabilities which may arise. We may also immediately cancel, terminate or suspend your Account without having any resulting liability to you. If we need to take legal action against you for recovery of a debt then you will be liable for any and all losses, costs and expenses incurred by us.

## Investment Advice

Slater Investments Limited does not provide any investment advice to investors. If you need advice or are unsure about the suitability of an investment you should contact a Financial Adviser.

## Keeping Track of your Investment

You may telephone our Customer Support Team on +44 (0) 203 8931001 to request a valuation of your investments with Slater. You will also be sent annual and half yearly short reports for the Slater Funds you have invested in. Slater Fund prices are available on our website [www.slaterinvestments.com](http://www.slaterinvestments.com) along with other useful information. We also publish some price information in the Financial Times.

## Making a Complaint

At Slater Investments Limited we try our very best to ensure we provide the high level of service that we ourselves would expect to receive. We recognise however that sometimes you may not be completely satisfied and have cause to complain. If this is the case we would encourage you to write to our Compliance Officer at Slater Investments Limited, Nicholas House, 3 Laurence Pountney Hill, London, EC4R 0EU with details of your complaint. We will then carry out a full investigation and respond to you as soon as possible. Full details of our complaints procedure are available on our website [www.slaterinvestments.com](http://www.slaterinvestments.com) or on request. If you are not satisfied with our response you may then contact the Financial Ombudsman Service, Exchange Tower, London, E14 9SR (+44 (0) 207 6941000) who may then review your complaint independently.

## Compensation

Slater Investments Limited is covered by the Financial Services Compensation Scheme (FSCS). You may be entitled to compensation from the scheme if Slater cannot meet its obligations. The FSCS might apply if you lose money because your investments have not been administered correctly, or as a result of misrepresentation or fraud, and the authorised firm concerned has gone out of business and cannot pay compensation or return your investments or any cash held on your behalf. The FSCS will not pay compensation if your investment performs poorly as a result of market conditions. The maximum amount of compensation payable to an individual under the FSCS will depend on the type of financial product that you hold and who the claim is against:

- If a provider is in default, the limit is £85,000 per provider for UK domiciled mutual funds (OEICs and Unit Trusts).
- If one of the banks used to hold client money is in default then the limit is £85,000.

Further information about compensation arrangements is available from the Financial Services Compensation Scheme at [www.fscs.org.uk](http://www.fscs.org.uk).

## Data Protection

Slater Investments Limited is registered with the Information Commissioners Office (ICO). It will process your personal data in line with the provisions of data protection legislation. We will not share your personal details with any third party without your prior consent. If you have any queries about data protection issues or would like further details on Slater Investment Limited's obligations to you and your rights, please visit our website to find a copy of our Investor Privacy Policy.

## Regulatory Status

The Funds are authorised collective investment schemes as defined in the Financial Services and Markets Act 2000 and are regulated by the Financial Conduct Authority. The Funds are all authorised Unit Trusts or OEICs and are governed by the Collective Investment Schemes (COLL) Sourcebook and their respective Trust Deed or Instrument of Incorporation. All documentation will be provided in English and contracts are subject to English law.

## Anti-Money Laundering/Combating Terrorist Financing

Money laundering regulations require financial service companies to make checks on the source of all new business. All applications will be processed on receipt, however we reserve the right not to issue units/shares to you nor make payments in respect of your investment until satisfactory proof of your identity is obtained. We will verify the identity of all investors and beneficial owners by checking details on various databases via a credit reference agency. This will not have any impact on your credit score. It will be an identity verification check only, not a credit check. If we are unable to verify your identity in this way we will contact you to request further documentation. Overseas investors should contact us to discuss documentation which may be sent. If you have any queries on money laundering prevention please call us on +44 (0) 207 2209460.

## Client Money

### Interest

There is no interest paid on money we hold for you as Client Money under the FCA Client Asset Sourcebook (CASS).

### Unclaimed Client Money

You agree that we may, in our sole discretion, decide to pay away to a registered charity of our choice any balance of money we hold for you as client money where in compliance with CASS: (1) we have held the balance of money for you for at least six years following our last transaction with you; (2) we have taken reasonable steps to trace you and return the balance; and (3) we unconditionally undertake to pay you a sum equal to the balance paid away to charity should you seek to claim the balance thereafter. The balance released to a charity in these circumstances will cease to be client money under CASS.

### Transfer of Business

You agree that, as part of any transfer of all or part of our business to a third party, we may transfer any sum of money we hold for you in connection with that business as client money under CASS to the third party, so long as (1) the sums transferred will be held by the third party in accordance with CASS; and (2) if not held in accordance with CASS (for example, where the third party is not regulated by the FCA), we exercise all due skill, care and diligence in assessing whether the third party will apply adequate measures to protect those sums. We will ensure that, prior to any transfer of sums to a third party under this paragraph, we satisfy ourselves that your money will continue to be protected in an equivalent matter as if we had continued to hold it ourselves.

## Client Classification

A Politically Exposed Person (PEP) or someone holding a public office role is defined as:

*NB - These categories do not include middle-ranking or more junior officials.*

- Heads of State, heads of government, ministers and deputy or assistant ministers;
- Members of parliaments or of similar legislative bodies;

- Members of supreme courts, of constitutional courts or of other high-level judicial bodies the decisions of which are not subject to further appeal, except in exceptional circumstances;
- Members of courts of auditors or of the boards of central banks;
- Ambassadors, charges d'affaires and high-ranking officers in the armed forces (other than in respect of relevant positions at Community and international level);
- Members of the administrative, management or supervisory boards of State-owned enterprises; and
- Directors, deputy directors and members of the board or equivalent function of an international organisation.

Or, an immediate family member of an individual entrusted with a prominent public function (as per the definition above), such as:

- A spouse;
- A partner, that is someone considered by his or her national law as equivalent or broadly equivalent to a spouse;
- Children and their spouses or partner;
- Parents;
- Grandparents and grandchildren; or
- Siblings.

Or, a person who is or has been entrusted with a prominent function by an international organisation referred to as members of senior management, e.g.:

- Directors;
- Deputy directors;
- Members of the board or equivalent functions;

Or, a close associate of an individual entrusted with a prominent public function, including any person who is known to:

- Maintain a close business relationship with such a person, including a person who is in a position to conduct substantial financial transactions on behalf of the PEP.

Examples of a close associate include the following types of relationships:

- Known 'partners' outside of the family unit e.g. girlfriends, boyfriends, mistresses of the PEP. Consideration should be given to the social, economic and cultural factors when determining how close the relationships are.
- Prominent members of the same political party, civil organisation, employment connections to the PEP.
- Business Partners or associates, especially those that share (beneficial) ownership of legal rights with the PEP, or sit on the same Company Board as the PEP.
- Consultants/advisors to the PEP
- PEP supported charities and non-profit making organisations

## Conflicts of Interest

We operate a Conflicts of Interest Policy which sets out how we monitor, manage and minimise any potential conflicts of interest. Our policy and associated procedures aim to ensure that any conflicts of interest which may arise between Slater, our investors or our employees are efficiently managed and that we treat our customers fairly. Our Conflicts of Interest policy can be found on the Policies page of our website.

## Investing via a Stocks & Shares ISA

### What is an ISA?

From 1 July 2014 ISAs were reformed into a simpler product, the New ISA (NISA). All existing ISAs became NISAs and account holders will now benefit from new flexibility in relation to their accounts, as well as an increased overall subscription limit of £20,000.

An ISA is a scheme for investment managed in accordance with the ISA Regulations under terms agreed between the ISA Manager and the Investor (ISA Terms and Conditions).

Income and gains generated by ISA investments are exempt from any further UK income tax as well as capital gains tax in the hands of the investor.

Anyone aged 18 or over may invest in an ISA, provided they are resident in the UK for tax purposes. This includes members of the armed forces, the Foreign Office and other Crown employees together with their spouses or those in a civil partnership overseas.

Slater Investments Limited only offer a Stocks & Shares ISA in the form of funds it manages.

With Slater Investments Limited, you can invest up to £20,000 for 2023/2024 in a stocks & shares ISA, providing you have not contributed to another stocks & shares ISA with another provider already in the tax year.

The limits are also inclusive of any cash ISA you may hold in the tax year meaning the total you may invest in a stocks & shares ISA is as previously stated less any amount invested in a cash ISA. The below illustration gives examples of the limits for cash and stocks & shares ISAs in the tax year 2023/2024:

- If you invest £20,000 in a stocks & shares ISA, you may not invest any money into a cash ISA in this tax year.
- If you have £20,000 in a cash ISA, you may not invest in a stocks & shares ISA in this tax year.
- You may invest any combination you choose, provided that you do not pay in more than the overall ISA limit of £20,000 within the tax year (6 April 2023 to 5 April 2024).

The maximum amount that you may invest in an ISA will increase by the rate of inflation (as measured by the Retail Price Index) each year. You may contact us or your Professional Adviser for the latest applicable limits.

#### **How do I invest via a Slater Stocks & Shares ISA?**

You may invest by completing an ISA Application Form, which is available on the Key Documents page our website, or by calling our Investor Support Team on +44 (0) 207 2209365. Your investment will be made at the next available Valuation Point on receipt of an accepted Application Form, all required identity information and on receipt of cleared funds, in the same way as with a direct investment.

#### **Can I transfer an existing ISA to Slater?**

Yes. As well as opening a new ISA each tax year you may also transfer any existing ISAs to a new provider. To transfer an existing ISA to Slater Investments Limited you must complete an ISA transfer form (found on the Key Documents page of our website). You may also transfer a cash ISA to a stocks & shares ISA, either from a previous tax year or from the current tax year. Doing so does not affect your cash ISA allowance for the current tax year, provided you have no more than the maximum permitted at any time in the tax year.

#### **How does tax affect my ISA?**

Any capital gains or income from investments in an ISA are free from Income Tax and Capital Gains Tax. If your chosen Slater Fund pays income distributions they are paid without deduction of income tax at 20%. When income is reinvested we will use the gross distribution to buy additional units/shares for you at the next Valuation Point after the payment date. All dividend income from your fund(s) will be paid as gross.

#### **Are there any additional risks associated with investing in a Slater ISA?**

The risks are the same as those associated with all stock market investments and with the specific Slater Fund(s) you choose. The risks can be found in the relevant Prospectus of the Slater Funds. The Prospectus for the Slater Funds can be found on the relevant Slater Fund page on our website. In addition, it should be noted that the favourable tax treatment given to ISAs may change or be withdrawn. The rates of and relief from taxation depend on your own circumstances and may change over time.

#### **Regular Savings ISA**

You may also invest in the Slater Funds by making regular, monthly contributions into an ISA. The minimum subscription for this is £100 per month and the maximum is £1,666 for 2023/2024 subject to the overall ISA investment limits. As with regular savings outside an ISA, you will be sent a statement showing your transactions twice each year. When you apply for regular savings within an ISA you do so by making a continuous application. This means that you will continue making contributions each year without needing to complete a new application form. If you wish to cancel your regular savings into your ISA or sell the units/shares you hold with us you will need to write to us with your instructions. You will also need to cancel the direct debit instruction with your bank.

#### **How do I sell my Slater ISA?**

You may sell all or part of your ISA holding with Slater Investments Limited by writing to us, ensuring your instruction is signed, or by calling our Dealing Team on +44 (0) 203 8931001. We will transfer the proceeds within four business days of the deal being placed. If you wish to transfer your Slater ISA to another manager, the new manager will usually provide a form for you to complete and send to them. They will then instruct Slater to sell your holding and we will transfer the proceeds to them.

#### **Can I withdraw my application? (Cancellation Rights)**

If you receive advice when you invest in an ISA with Slater, we will give you 14 days in which to change your mind and cancel your investment. It is important to note that if you cancel an ISA transfer you may lose the tax exempt ISA status of your investment. If you exercise your right to cancel, any money paid will be repaid (subject to deduction of the amount, if any, by which the value of your ISA Investment has fallen).

#### **What happens in the event of my death?**

If we receive notification of your death, your ISA will be closed and will cease to benefit from any tax advantages from the date of your death. We will provide appropriate statements with regards to your account and any relevant tax certificates to your personal representatives in accordance with the ISA Regulations.

#### **Junior ISA**

Slater Investments also offers Junior Stocks & Shares ISAs. Further details are available on the Junior ISA page of our website or by calling +44 (0) 207 2209365.

#### **ISA & JISA Terms and Conditions**

Full ISA & JISA Terms and Conditions are available from Slater Investments Limited on request or on the Key Documents page of our website.