



# General Application Form

Please complete in **BLOCK CAPITALS** and return to: **JTC Fund & Corporate Services, HX1, 16th Floor, Harbour Exchange Square, London, E14 9GE.**

This Application Form is accurate as from **11/09/23.**

## 1 Personal Details (please complete in full)

**Personal/Primary Holder:** (please see Section 2 to add additional holders)

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Telephone:

Email:

Male ☐ Female ☐ Date of Birth: DD / MM / YYYY

National Insurance Number: \_\_ / \_\_ / \_\_ / \_\_ / \_\_

If you **do not** have a NI Number, please tick here ☐

I confirm that I am a UK resident ☐

I confirm that I am not a US citizen ☐

Nationality/ies:

Please detail any residency or citizenship you hold in any other country than the UK:

I confirm that I am **NOT** a Politically Exposed Person\* ☐

\*If you are unsure as to whether you qualify as a Politically Exposed Person please read our explanation in full, which can be found in our Supplementary Investor Document (SID) in the Key Documents section of our website ([www.slaterinvestments.com](http://www.slaterinvestments.com)).

## Third Party Details (please complete if relevant)

Please complete this section if the person funding all or part of this investment is not the applicant listed in above. A Confirmation of Verification of Identity (CVI) will also be required.

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Male ☐ Female ☐

Date of Birth: DD / MM / YYYY

Name or Number of Property:

Address:

City:

Country: Postcode:

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

Name or Number of Property:

Address:

City:

Country: Postcode:

## 2 Joint Holders

Please include the full name and address of each holder. All correspondence will be sent to the primary holder.

### Second Named Holder

Mr/Mrs/Ms/Miss/Other:

Surname:

Current address:

Name or Number of Property:

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:

### Third Named Holder

Mr/Mrs/Ms/Miss/Other:
Surname:

Current address:

Name or Number of Property:	
Address:	
City:	
Country:	Postcode:

Address:	
City:	
Country:	Postcode:

Full first name(s):
Male <input type="checkbox"/> Female <input type="checkbox"/> 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:

## 3 Tax Residency

Tax regulations require us to collect information about each investor's tax residency. Depending on the information provided, we will be obliged to share information about your account(s) with HMRC who may in turn share this with other relevant tax authorities.

Each investor must indicate all countries in which they are a resident for tax purposes and the associated Tax Identification Number(s) in the box below. If you are a resident in the USA, in order to comply with US law, we are unable to accept your investment. If you submit an application to us it will be rejected and returned to you.

### Named Holder (from section 1)

Tax Identification Number:
Place of Birth (Town and Country):
Country(ies) of Tax Residency:

### Second Named Holder (from section 2)

Tax Identification Number:
Place of Birth (Town and Country):
Country(ies) of Tax Residency:

### Third Named Holder (from section 2)

Tax Identification Number:
Place of Birth (Town and Country):
Country(ies) of Tax Residency:

Please also forward a copy of the section of your passport showing the above details for **each** investor.

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

Beneficial Holder/Name	Date of Birth	Address	Tax Identification Number	Signature	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.

**5 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:

**6 Client Identification**

In order to comply with Anti-Money Laundering Regulations, we are required to verify the identity and address of the applicant(s). Please could you send us one document from **each** of the below categories for **all** registered holders from Section 1 and 2. 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

NB (1) - The address on all documents **must match your listed address and contain your given name** on this form.

NB (2) - Utility Bills and all Bank/Building Society/Financial Services documents must be less than 3 months old.

We understand that you may not have the documents we have requested. In this situation, we may be able to accept some of the following as evidence of your personal identity or address:

### **Residents in a nursing/residential home**

If you live in a nursing home and are not able to provide any of the documents listed above, we can accept a letter from the manager or warden of the nursing/residential home confirming permanent residence there. This also applies if you are a Financial Adviser to a customer who is resident in a nursing/residential home.

Usually, this would support a piece of documentation from the 'Personal identity evidence' section such as an original notification letter from the Department of Work and Pensions (DWP) confirming the right to a state pension.

If you are providing documents on behalf of an incapacitated investor then an original Court Order appointing a deputy may also be accepted. This must be in respect of an appointment by the Court of Protection and name both the investor and the appointed deputy.

### **Armed Forces**

We accept copies of documents certified as a true copy by a senior ranking officer. For details see 'Documents Certification' below.

In addition, we can accept an original UK Armed Forces ID card, or an appropriately certified copy.

### **Other documents that we may consider:**

Please contact us if you don't have any of the documents listed above but can provide one of the following:

- Solicitor's letter confirming house purchase or land registry confirmation.
- Police warrant card (with photo identification).
- Vehicle Registration document.
- Probate document.
- Letter confirming your National Insurance Number (The National Insurance Card can't be accepted on its own).
- NHS Medical Card.
- Letter from a GP addressed to you, and on headed note paper.

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 ([www.slaterinvestments.com](http://www.slaterinvestments.com)).

**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.**

### **Document Certification:**

The following people can certify documents:

- A director, officer or manager of a regulated financial services business which is operating in an equivalent jurisdiction, or of a branch or subsidiary of a group headquartered in an equivalent jurisdiction, which applies group standards to subsidiaries and branches worldwide and tests the application of, and compliance with, such standards.
- A lawyer or notary public (who is a member of a recognised professional body).
- An actuary or accountant (who is a member of a recognised professional body).
- A tax advisor (who is a member of a recognised professional body).
- A member of the judiciary, a senior civil servant or a serving police or customs officer.
- An officer of an embassy, consulate or high commission of the country of issue of documentary evidence of identity.
- An individual that is qualified to undertake certification services under the authority of the Certification and International Trade Committee.

**The certifier must certify that he/she has seen the original documentation and must use the following wording when certifying any documents as true copies, ensuring the relevant statement is copied in its entirety:**

- Proof of identity (photographic identity documents):

*"Having seen the individual and the identification document at the same time, I certify that this is a true copy and the photograph bears a true likeness of [enter name]."*

- All other documents:

*"Having seen the original and photocopy document at the same time, I certify that this is a true copy."*

**In addition, the following details should be included in every instance so that the certifier may be contacted in the event of a query:**

- Date
- First name(s) and surname
- Signature
- Company name
- Position
- Registration number (if a member of a recognised professional body)
- Contact details: address, telephone number or an email address at which they can be contacted.

**7 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 either be drawn on your account or a joint account. The cheque must be made payable to Slater Investments Limited. For a Building Society cheque or banker's draft, your 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.

☐ **Monthly Direct Debit** Amount: £ 

In order to pay via Direct Debit, please ensure you have completed 'Regular Savings' in **Section 10** and **Section 13**.

**8 Nominated Bank Account**

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

Name of Account Holder: 

Account Number: 

Sort Code: 
**9 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)		
<b>Total:</b>		<b>£</b>

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 8. For Accumulation units/shares, income will be automatically reinvested.

**10 Source of Funds**

Please confirm where the money you wish to invest has come from by ticking the relevant box(es) below.

Employment Income (e.g. salary)	<input type="checkbox"/>	Inheritance	<input type="checkbox"/>
Sale of Property (e.g. home)	<input type="checkbox"/>	Sale of Business	<input type="checkbox"/>
Sale of Investments(s) (e.g. shares, bonds)	<input type="checkbox"/>	Other (please provide more details in the box below)	<input type="checkbox"/>

Details: 
**11 Declaration**

- I confirm that I am 18 years of age or over.
- I confirm that I am not a US Person (either resident or citizen) and acknowledge that US Persons cannot hold shares/units in the Slater Fund(s). I agree to notify Slater Investments Limited immediately in the event that I/we become a resident in the USA.
- I authorise Slater Investments Limited to hold my cash subscription, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- I acknowledge that I have read and understood the Slater Investments Limited's Terms & Conditions and accept that they form the basis of my agreement with Slater Investments Limited. To the best of my knowledge and belief, all statements made in this application form are true and correct and I shall inform Slater Investments Limited immediately of any change in my circumstances affecting any of the information in this form.
- I have read and understood the relevant Key Investor Information Document (KIID) and Supplementary Information Document (SID). I understand that these documents form part of the terms and conditions of my investment in the relevant Slater Fund(s).
- I confirm that I 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 Investor Privacy Policy, which is available from the Policies section of our website at [www.slaterinvestments.com](http://www.slaterinvestments.com) (or otherwise available upon request).

Our Investor 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.

Full Name:

Signature:

Date: DD / MM / YYYY

Please note that this form will be returned if it is not signed and dated.

## 12 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 - **Sections 1 to 5**
- Provided client identification documents - **Section 6**
- Stated your fund choice(s) and how much you wish to invest - **Section 9**
- Confirmed the source(s) of the monies you wish to invest with us - **Section 10**
- Signed and dated the Declaration - **Section 11**
- Completed and signed the mandate for regular savers and/or income payments - **Section 13** (if applicable)

Up to date Key Investor Information Documents, Supplementary Investor Document, Prospectuses and Reports & Accounts for any Slater Fund can be requested by the investor from Slater Investments Limited at any time or obtained from the relevant Slater Fund page on 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 **Lisa Letham** on **+44 (0) 207 2209365**.

Your completed Application form should be returned to your Professional Adviser or directly to: **JTC Fund & Corporate Services, HX1, 16th Floor, Harbour Exchange Square, London, E14 9GE.**

## 13 Investment By Direct Debit

### Instruction to your Bank or Building Society to pay Direct Debit



Name and full postal address of your Bank or Building Society:

To the Manager Bank or Building Society

Address:  
  
Postcode:

Name(s) of Account Holder(s)

Account Number:  
Sort Code:

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

Service User No. 1 6 8 5 5 2

Reference Number (to be completed by SIL):

**Instructions to your Bank or Building Society:**  
Please pay Slater Investments 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 Slater Investments Limited and, if so, details will be passed electronically to my Bank or Building Society.

Please note that some Banks and Building Societies may not accept Direct Debit instructions from some types of accounts.  
Any bank details given in this section will override any existing bank details we may hold for you.

Full Name:

Signature:

Date: DD / MM / YYYY

14 Direct Debit Guarantee

This guarantee should be detached and retained by the payer.



- This guarantee is offered by all Bank 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, Slater Investments Limited will notify you 10 working days in advance of your account being debited, or as otherwise agreed. If you request Slater Investments 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 payment of your Direct Debit by Slater Investments Limited or your Bank/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 Slater Investments 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.