

WAY Portfolio Funds:

WAY MA Cautious Portfolio Fund and WAY MA Growth Portfolio

Stocks and Shares ISA Application Form

For completion by the introducing intermediary
(if applicable)

Advised Investment*

Non-advised Investment*

The client meets the target market for the selected investment fund*

*Please tick as appropriate



WAY Fund Managers Limited

Stocks and Shares ISA Application Form

1. Personal Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Residential Address	
Postcode	
National Insurance Number*	
Telephone (daytime)	
Telephone (evening)	
Date of Birth	

If you do not have a National Insurance Number, please tick this box.

*Your National Insurance Number (NINO), or National Pension Number and Date of Birth must be quoted. Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book.

2. Investment Details

Please state the amount you wish to invest below.

I apply to subscribe for the following investment to the **WAY Stocks and Shares ISA** for the **20__ / 20__** tax year and for each subsequent tax year until further notice. *(PLEASE COMPLETE THE TAX YEAR)*

Please note that full information concerning the latest HMRC ISA rules and the maximum subscription for the current tax year can be found at www.gov.uk/individual-savings-accounts.

Amount Remitted to WAY Fund Managers	£	
Less Facilitated Initial Adviser Charge	£	
Net Amount to be Invested	£	

As follows:

WAY Portfolio Funds Sub-Fund	Share Class and Type	Lump Sum* (Min. £1,000 and net the Initial Adviser Charge above)	Monthly Savings** (Min. £100 per fund)
WAY MA Cautious Portfolio Fund	Accumulation Shares only	£	£
WAY MA Growth Portfolio	Accumulation Shares only	£	£
Total Investment Amount		£	£

* You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.

**Collection date for monthly savings is the 1st business day of each month. Please complete the separate Direct Debit Mandate at the back of this form.

3. Cancellation Rights

Under the Financial Conduct Authority's Conduct of Business Sourcebook, cancellation rights will apply where the contract was arranged through an independent intermediary, unless they hold an appropriate Customer Agreement with you or dealt on your behalf on an execution-only basis. A copy of the Prospectus is available, free of charge, on request. A copy of this completed application form is also available on request.

For an Advised Investment Cancellation Rights **will** apply.

4. Data Protection—How your personal data is used

By completing and submitting an application to invest in any of the Funds that WAY Fund Managers Limited ("we"/"us") operates, you will be giving your consent to the processing of your personal data (including any anti-money laundering verification check), by us for the administration of services in connection with your investment on a contractual basis. Additionally we may be requested to share your personal data with our regulator, the Financial Conduct Authority, or for wider compliance with any legal or regulatory obligation to which we might be subject.

If you have used an intermediary to submit the application we may also share information about your investment with them, to help them to continue to provide their services to you, unless you request us not to.

We may share your personal data with contracted third parties for the purposes mentioned above (however this does not entitle such third parties to send you marketing or promotional messages) and we do not envisage that this will involve your personal data being transferred outside of the European Economic Area.

We make every effort to maintain the registration of your holdings accurately. However, if you feel that we have incorrectly recorded any of your personal data, you may request its correction. You have the right to request copies of your personal data stored by us and can do so by using our contact details below.

Your data will be stored and processed securely for the period of your contract with us and for a minimum of seven years after our relationship ceases, for regulatory and legislation purposes only.

We are registered with the Information Commissioner's Office as a Data Controller and Data Processor for this purpose. Further information on how we manage your personal data can be found within our **Privacy Notice** which can be found on our website www.wayfunds.com.

Should you wish to make a complaint or request further information on how we collect and process your personal data please contact us at:

Data Protection Office, WAY Fund Managers Limited, Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset, BH21 7SB.

Email: DPO@wayfunds.com Tel: 01202 855856.

Alternatively, if you have any concerns or complaints as to how we have handled your personal data, you may lodge a complaint to the Information Commissioner's Office through their website which can be found at:

<https://ico.org.uk/for-the-public/raising-concerns/>

5. Declaration

- I apply to invest in a WAY Stocks and Shares ISA invested in the WAY MA Portfolio.
- All subscriptions made, and to be made, belong to me.
- I confirm that I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash, a stocks & shares ISA, and to an innovative finance ISA in the same tax year.
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earning & Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform WAY Fund Managers Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- I have read a copy of the relevant NURS Key Investor Information document(s) for my chosen sub-fund(s), the Supplementary Information Document incorporating the ISA Terms and Conditions, and agree to be bound by them and accept that they may be varied at the Company's discretion.
- I declare that this application form has been completed to the best of my knowledge and belief.
- I understand that you may require additional information from me in accordance with the money laundering regulations and I acknowledge that electronic data sources may be used to check my identity under the money laundering regulations.
- I have read the data protection information contained in the Prospectus and in this document.
- I consent to my shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.
- I authorise WAY Fund Managers Limited:
 - to hold my cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash,
 - to make on my behalf any claims to relief from tax in respect of ISA investments.

Applicant's Name (please print)	Applicant's Signature	Date

6. Politically Exposed Person—Tick either A) or B)

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I hereby represent and warrant that, to the best of our knowledge, none of the following:

- (1) the investor;
- (2) any person controlling or controlled by the investor;
- (3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- (4) any person for whom the investor is acting as agent or nominee in connection with this investment is a politically exposed person,* or any immediate family member** or close associate of a politically exposed person as such terms are defined in the footnotes below.

OR **CATEGORY B)**

I confirm that I meet the definition of a politically exposed person(s),* or any immediate family member(s)** or close associate(s) of a politically exposed person according to the terms defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

* “politically exposed person” means an individual who is, or has at any time been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): (a) a specified official; (b) a member of the administrative, management or supervisory body of a state-owned enterprise; “specified official” means any of the following officials (including any such officials in an institution of the European Communities or an international body): (a) a head of state, head of government, government minister or deputy or assistant government minister; (b) a member of a parliament; (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal; (d) a member of a court of auditors or of the board of a central bank; (e) an ambassador, charge d’affaires or high-ranking officer in the armed forces.

** The definition also expands to a “close associate”, “immediate family member” of a politically exposed person and includes any of the following persons: a) any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c) any spouse of a PEP d) any person who is the equivalent of a spouse under the national law of the place where the PEP resides e) any cohabitant, f) any child or parent of the politically exposed person or spouse of the child of the PEP g) any other family member who is of a prescribed class.

I FALL INTO CATEGORY: A) or
(Please tick as appropriate) **B)**

Applicant's Name (please print)	Applicant's Signature	Date

To the Investor(s)

If you have received advice from a FCA-authorized intermediary, you will need to agree with them what charge you are paying for their service to you. This can be arranged directly between you and your intermediary, or we can facilitate the payment of an ongoing quarterly 'adviser charge' to your intermediary on your behalf. Please note that this is achieved by selling down a number of units/shares from your holding on a quarterly basis, on the 15th of January, April, July, and October (the "Quarterly Redemption Date(s)"), with the subsequent payment being made directly to your designated intermediary. The amounts paid to your intermediary can be expressed either as fixed amounts (e.g. £1,000 per annum) or as percentages of your investments per annum).

Please note that we facilitate the payment of an adviser charge in relation to this initial investment and in respect of its ongoing value at each Quarterly Redemption Date.

Advisor Charge Declaration (to be completed by the Investor(s))

I/We* confirm that I/we have received advice relating to this investment and hereby request WAY Fund Managers Limited to pay an adviser charge directly to my/our* intermediary (as shown in the "Adviser Charge Rates" section below):

- As a percentage of/fixed amount* from the value of my/our* gross investment shown on this Application Form; and
- As a percentage of/fixed amount* from its ongoing value, as at the Quarterly Redemption Dates;
- These arrangements to remain in place until I/we* give instructions in writing to WAY Fund Managers Limited that this arrangement should be cancelled, or I/we* cease to be the registered unitholder;
- I/We* understand that the adviser charge relating to my/our* gross investment, will be deducted prior to investment in units/shares and will not therefore count as part of the cost of units/shares purchased;
- I/We* understand that the adviser charge relating to the ongoing value, deducted from my/our* investment as at each Quarterly Redemption Date, is in addition to the standard charges applied.

*Delete as appropriate

Please note that Cancellation Rights will automatically apply where you have received investment advice and Cancellation Notices will be sent directly to the first named investor with copies of the contract note(s).

Advisor Charge Rates (to be applied to this investment)

Intermediary:		
Initial Adviser Charge:		
At each Quarterly Redemption Date:	Percentage per annum of value*:	%
	Or, a fixed amount per quarter of:	£

If advice relating to this investment has been received please tick this box.

You will be allocated the E Share Class for your investment.

Please note that where a percentage per annum is selected we will calculate the ongoing adviser charge equal to one quarter of that percentage of the unit/share value at each Quarterly Redemption Date commencing with the first Quarterly Redemption Date following the date of issue of units/shares but excluding any Quarterly Redemption Date following the date of issue of units/shares but excluding any Quarterly Redemption Date falling within one calendar month of the issue of units/shares.

Signature	Date of signature

Please make sure you have:

- Signed the Application Form;
- Made your investment requirements clear;
- Completed the separate Direct Debit Mandate for a monthly savings plan, if applicable;
- Completed the 'Politically Exposed Person' section, as appropriate;
- Completed the 'Adviser Charge Declaration' form, as appropriate;
- Arranged for a payment relating to this investment to be made to WAY Fund Managers Limited's bank account. The bank details are as follows:
- In order to comply with the UK law on money laundering, payments must be made from your own bank account, or from an account in the name of a regulated intermediary authorised to hold and control client money. In any event, please provide here the details of the bank account from which payments have been made, including the following:
 - Full name and address of remitting bank:

Bank	HSBC Bank plc, 60 Queen Victoria Street, London EC4N 4TR
Sort Code	40-05-30
Account Number	24577000
Account Name	WAY Fund Managers Limited
Swift Address and IBAN	MIDLGB22 and GB17MIDL40053024577000
Reference (please quote)	Full Investor Name

- Sort Code:
- Account Number:
- Account Name:

Please return your completed application form to:

WAY Fund Managers Limited, Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset BH21 7SB.

If you have any questions regarding the completion of this form please contact your usual financial adviser or alternatively the ACD on **01202 855856**.

Intermediary Comments:

Intermediary Stamp:

FCA Number:

Agency ref:

Discount %:

Commission payable %:

Name of Registered Individual:

WAY Fund Managers Limited (registered in England and Wales No 4011838). Authorised and regulated by the Financial Conduct Authority

Registered address details: Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset, BH21 7SB

A member of the Investment Association

