Data-driven global investing

WS Enigma Funds
Stocks & Shares ISA Investments & Transfers

2023 / 2024

This application form is for investors who do not already have an existing ISA investment in the WS Enigma Funds. Should you wish to make top up contributions to your existing ISA investment please use the Stocks & Shares ISA Investments - Lump Sum Top Up Form found on our website at www.waystone.com/our-funds/waystone-fund-services-uk-limited/.

Before completing this application form, you must read the relevant Key Investor Information Document which contains important information about your investment. You should also read the Supplementary Information Document, which contains the ISA terms and conditions.

This application form is for the current tax year and each subsequent year until further notice. Should you wish to make future lump sum contributions you can do using the Stocks & Shares ISA Investments - Top Up Form found on our website www.waystone.com/our-funds/waystone-fund-services-uk-limited/. A new Stocks & Shares ISA Investments & Transfers Application Form will only be required if there has been an entire tax year in which you do not make a subscription and you subsequently want to invest.

All relevant documentation, including the full prospectus, can be obtained from Waystone Fund Services (UK) Limited , 64 St. James's Street, Nottingham, NG1 6FJ, at: www.waystone.com/our-funds/waystone-fund-services-uk-limited/ or by calling the Client Services helpline on 0115 988 8286. (Calls are recorded).

Please complete the application form in blue or black ink and in BLOCK CAPITAL letters. Failure to correctly complete relevant sections of the application form may delay or invalidate your application.

The completed application form should be returned to: Dealing & Administration, Waystone Fund Services (UK) Limited , 64 St. James's Street, Nottingham, NG1 6FJ.

Waystone Fund Services (UK) Limited ('WFSL') is authorised and regulated by the Financial Conduct Authority (FCA) and is a HM Revenue & Customs ('HMRC') approved Stocks & Shares ISA Manager.

Section 1: Personal details

Please complete the personal details in full. Please note that Stocks & Shares ISA investments are only available to individuals over 18 years of age who are UK residents or Crown employees serving overseas or spouses (see section 6)

Tick if an existing account holder ☐ Existing account number (if applicable) ____

Title ____ First name(s) ____ Surname ____

Permanent residential address

Postcode

Email address ____

Daytime telephone number ____

Date of Birth (DD/MM/YYYY) __ __ / __ __ / __ __ __ __

National Insurance Number __ __ - __ __ __ __ __ __ - __

(NI No. can be found on P60, tax return, notice of coding or pension book). Failure to provide a NI No. will invalidate your application.

Driving Licence Number ____

In order to help us to verify your identity, please provide your full 16 character UK Driving Licence number (if applicable).

Nominated Bank Details

You must nominate a bank account (based in the currency of the unit/share class in which you chose to invest) in your own name(s) to receive proceeds should you wish to redeem your investment, and also to receive income distribution payments (if applicable). If you do not supply bank details we reserve the right to reject your application.

Name of Bank or Building Society ____ Sort Code __ __ - __ __ - __ __

Name(s) of Account ____ Account No. ____

Building Society Roll No. (if applicable) ____

IBAN (only required where Sterling bank account is not UK based) ____

Swift (only required where Sterling bank account is not UK based) ____

Income payments will usually be credited to your nominated bank or building society account on or around the last business day of the relevant month. Please refer to the Supplementary Information Document for income allocation dates. Please note that banks and building societies may not accept direct credits to some types of accounts.

IMPORTANT INVESTOR INFORMATION

Data Protection Policy

To provide our services to you, WFSL is required to collect personal information (i.e. information such as your name, date of birth, address, bank details or other such data which may be used to identify you). When we do so we are subject to data protection laws applicable in the United Kingdom and we are responsible as 'controller' of that personal information for the purposes of those laws.

We take your privacy very seriously and will only share your personal information with trusted third parties that are themselves subject to appropriate measures to protect your personal information. You are encouraged to read carefully our Privacy Policy which contains details and important information on who we are and how and why we collect, store, use and share your personal information. This policy also explains your rights in relation to your Personal Information and how to contact us or supervisory authorities in the event you have a complaint.

Our Privacy Policy can be obtained from www.waystone.com/our-funds/waystone-fund-services-uk-limited/ or, to request a copy, you can write to us at Waystone Fund Services (UK) Limited , 64 St. James's Street, Nottingham, NG1 6FJ or call us on the Client Services helpline: 0115 988 8286. (Calls are recorded).

Identification Verification

Applications will be subject to the United Kingdom's verification of identity requirements which are contained in the Money Laundering Regulations (and subsequent revisions), the Serious Organised Crime and Police Act 2005, the Proceeds of Crime Act 2002, the Terrorism Act 2000, the HM Treasury Sanctions Notices and the FCA Handbook. To comply with these regulations, we may need to request additional evidence of identity from you. We may use a credit reference agency who will record that an enquiry has been made. **We reserve the right to refrain from investing your money and to withhold any repayment of capital and / or income until adequate evidence of identity under these regulations has been provided.**

Do you have a Financial Adviser? (tick one) Yes (go to section 2) ☐ No (go to section 4) ☐

Section 2: Financial Adviser Details — to be completed by a Financial Adviser (if applicable)
Please see WFSL's Intermediary Terms of Business at www.waystone.com/our-funds/waystone-fund-services-uk-limited/. Intermediaries who conduct business with WFSL are deemed to have accepted these terms.

Business Name

FCA Reference No. WFSL Agency Number (if applicable)

Financial Adviser Stamp (including address & postcode)

Consultant's Name

Email address

Telephone number

Bank account details for adviser charge payments:

If bank details are not provided this could delay payment of any adviser charges

Name of Bank or Building Society

Sort Code - -

Name(s) of Account

Account No.

Building Society Roll No. (if applicable)

IBAN (only required where Sterling bank account is not UK based)

Swift (only required where Sterling bank account is not UK based)

Where a Financial Adviser is listed WFSL's default position is that advice has been given in regards to this application unless we are instructed otherwise.

Tick here if no advice has been given ☐

Please be advised we must be informed at the point of each subsequent investment whether or not advice has been given.

Authorised Signatory of Financial Adviser Firm: X

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Existing Account	☐	DoB	☐	ID Verification	☐		☐
Full Declaration	☐	NINO	☐	Cheq (if applicable)	☐	Further Action Required	☐

Section 3: Financial Adviser Charges

Additional notes to Financial Advisers

From 31 December 2012, ongoing commission cannot be paid to a UK Financial Adviser from a product where advice has been given to a UK retail client to invest in a product. For deals where advice has been given to a UK retail client, investment should therefore be made into classes which do not contain an element of commission built into the annual management charge (AMC). See the Supplementary Information Document for this fund range for a complete class list. Section 2 of this application form declares if no advice has been given. This application may be rejected if any sections are incomplete or inconsistent.

Special terms relating to initial charges must be agreed with WFSL prior to the submission of this form.

Please ensure that you have read, understood and signed the additional declaration(s) in Section 6 of this application form which refer to adviser charges.

Initial Adviser Charges

By completing this section, you are instructing us to pay an amount deducted from your investment as outlined in Section 4 to the agent listed in Section 2 as an adviser charge. As a result of this, the net amount invested in your chosen fund will be reduced by the amount of the adviser charge. For example if you have invested £10,000 and you have elected to pay your adviser a 2% adviser charge from your initial investment, we will pay your adviser £200 and £9,800 will be invested into the fund.

Initial adviser charge payable to appointed Financial Adviser: %

This section has been left intentionally blank.

Please move to the next page to continue with your application.

Section 4: Investment Details — Please see HMRC website for annual ISA subscription limits

Please confirm the fund and class that you wish to invest in by completing the table below.

	Lump Sum Investment * Specify the cash value in this column	**ISA Transfer **** Specify approximate cash value in this column
WS Enigma Dynamic Growth Fund B Accumulation GBP	£	£
WS Enigma Dynamic Growth Fund B Income GBP	£	£
WS Enigma Global Sector Rotation Fund B Accumulation GBP	£	£
WS Enigma Global Sector Rotation Fund B Income GBP	£	£

Your total ISA investment for the current tax year must not exceed the maximum overall subscription limit.

*Minimum initial lump sum investment £5,000. Minimum subsequent investment (e.g. top up) £1,000.

**For ISA transfers please also complete the ISA Transfer Instruction forms included in this application pack.

Note to Financial Advisers: Please give clear instructions of any initial commission % payable and ensure sections 2 & 3 of this application form are fully completed.

Section 5: Payment method

Please tick and confirm your payment method:

☐ **Electronic Payment**
Please note that WFSL is unable to make a collection from your account and you must instruct your bank to transfer payment to us

Please send electronic payments with your name as the payment reference to the following account;
Account Name: WS Enigma Funds Client Money   Account Number: 70222304   Sort Code: 60-80-09

☐ **Transfer balance from existing WFSL Non-ISA holding**
Please confirm your Non-ISA account number you are transferring from
Please note that if a transfer is instructed from a joint holding, you must be one of the registered holders on the account, and a separate letter must be included with this application form, signed by all holders, giving authority for the transfer to the applicant.

☐ **Transfer ISA from another ISA Manager**
Please complete the ISA transfer form included in this application form.

Section 6: Declarations

Please read this section carefully before signing and dating the declaration and ensure that the total amount you wish to subscribe is within the ISA regulations, as detailed below and in our ISA terms and conditions attached to the Supplementary Information Document. This is our standard declaration upon which we intend to rely. For your own benefit and protection you should read these terms along with the contents of the Supplementary Information Document including ISA terms and conditions and the relevant Key Investor Information Document carefully before signing. More detailed information can be found in the WS Enigma Funds Prospectus. Copies of these documents can be obtained from www.waystone.com/our-funds/waystone-fund-services-uk-limited/ or by contacting WFSL. If you do not understand any point please ask your Financial Adviser or WFSL for further information. Please note that WFSL is not authorised to provide financial advice to private individuals. **Failure to sign will mean your application form cannot be processed**.

I declare that:

- The information contained in this application form and any additional pages completed by me is correct to the best of my knowledge and belief and I undertake to notify WFSL without delay of any changes to these particulars.
- I confirm that I have read and understood in full the information contained in this application form and the relevant Key Investor Information Document, the Supplementary Information Document and ISA Terms and Conditions (and have kept a copy of these for my records), and that these documents constitute the agreement between me and WFSL.
- I agree to be bound by the terms and conditions contained therein.
- I request WFSL to act in accordance with my instructions. I understand that this application is subject to acceptance by WFSL and that WFSL accepts no responsibility for any loss incurred as a result of any delay in the submission of the application form.
- I agree to indemnify WFSL and its delegates and/or agents including the administrator for any loss arising to WFSL and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction on the happening of a Chargeable Event (as defined in the Prospectus). This indemnity applies notwithstanding anything to the contrary in this application form or the current Prospectus, unless otherwise agreed by WFSL in writing.
- I agree to provide any information as may be requested by WFSL to enable the relevant fund to satisfy any legal, regulatory or tax obligations.

- I am 18 years of age or over;
- All subscriptions made, and to be made, belong to me;
- I apply to subscribe for a stocks and shares ISA for the 2023/2024 tax year and each subsequent year until further notice for the amount as detailed in Section 4, or if the amount shown in Section 4 is more than the limit allowed under HM Revenue & Customs regulations, I subscribe for the maximum allowed under such regulations with any remainder part of my application being treated as an application form to invest in an OEIC/ Unit Trust outside of an ISA tax wrapper.
- 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 (Earnings and Pensions) Act 2003 (Crown employees serving oversees) 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 WFSL if I cease to be so resident and ordinarily resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties.
- I have not subscribed/made a payment to and will not subscribe/make a payment more than the overall subscription limit in total to any combination of permitted ISA types 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 understand that the WFSL ISA is a stocks and shares ISA and the annual subscription limit applies to the aggregate investment in the cash and stocks and shares component.

I hereby authorise WFSL:

- To hold my cash subscription/payment, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and other cash, and, to make on my behalf any claims to relief from tax in respect of ISA investments.
- On my written request transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

Additional declaration if adviser charges are to be taken from the investment

- I declare that I have agreed with the agent listed in Section 2 that I will pay the agent the initial adviser charge stated in section 3 and I instruct you to pay such a charge to the agent listed as an initial adviser charge for services provided. I acknowledge that this will reduce the amount of my initial investment.

Applicant Signature X Date / /

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Please move to the next page to continue with your application.

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ISA Transfer Instruction Form

Please note that if you want to transfer an ISA from more than one manager, you must complete a separate transfer instruction for each one.

Information for current ISA Managers
Please make an electronic payment to Waystone Fund Services (UK) Limited , using the bank account listed on the enclosed letter, and send the full history of the ISA being transferred plus the date of the transfer to Dealing and Administration, Waystone Fund Services (UK) Limited , 64 St. James's Street, Nottingham NG1 6FJ. Please note that Waystone Fund Services (UK) Limited 's HMRC manager reference is Z1520. Any income or tax credits accruing in excess of £25 after you have sent these proceeds should also be sent to the same address.

Name of current ISA Manager

Account Number or Reference

Address of current ISA Manager

Postcode

I wish to transfer my ENTIRE (tick as appropriate)

		Approximate Value		Maturity Date (if applicable)
Current & Previous tax years - Stocks & Shares ISA holding		£		/ /
Previous tax years - Stocks & Shares ISA holding		£		/ /
Current tax year - Stocks & Shares ISA holding		£		/ /
Current & Previous tax years - Cash ISA holding		£		/ /
Previous tax years - Cash ISA holding		£		/ /
Current tax year - Cash ISA holding		£		/ /

If you do not wish this ISA to be transferred until after a specific product maturity date, please tick and provide the relevant maturity date

ISA investments to be transferred in part (Previous tax years only)
Please check with your existing ISA Manager that they can accommodate partial transfers

Please transfer specific tax years detailed below

If you do not wish this ISA to be transferred until after a specific product maturity date, please tick here and provide the relevant maturity date

Specific Tax Year Enter tax year (e.g. 2011/12)	Type of ISA (circle as appropriate)	Approximate Value		
/	Cash / Stocks & Shares	£		/ /
/	Cash / Stocks & Shares	£		/ /
/	Cash / Stocks & Shares	£		/ /
/	Cash / Stocks & Shares	£		/ /

I hereby instruct my current ISA manager named above, to liquidate these assets within my ISA as detailed above, with immediate effect, and to transfer the proceeds to Waystone Fund Services (UK) Limited , 64 St. James's Street, Nottingham, NG1 6FJ.

Applicant's Full Name

Permanent residential address

Postcode

Date of Birth (DD/MM/YYYY) / /

National Insurance Number - -

(NI No. can be found on P60, tax return, notice of coding or pension book). Failure to provide a NI No. will invalidate your application.

Applicant Signature X

Date / /