

SMITH & WILLIAMSON FUND ADMINISTRATION LIMITED

S&W MATTERLEY UNDERVALUED RETURNS FUND APPLICATION FORM - INDIVIDUAL

PLEASE READ THE ENCLOSED SIMPLIFIED PROSPECTUS DOCUMENT PRIOR TO COMPLETING THIS APPLICATION FORM
A COPY OF THE FULL PROSPECTUS IS AVAILABLE FREE OF CHARGE ON REQUEST

PERSONAL DETAILS

BLOCK CAPITALS

Title Mr/Mrs/Miss/Ms/Other	Surname
Forename(s) (in full)	
Address	
Date of Birth dd/mm/yyyy	
Postcode	Daytime Telephone No
Registered Name (if not an individual, eg company name)	

JOINT APPLICANT(S) (if applicable – maximum four)

Title	Surname	Forename(s) (in full)
Date of Birth dd/mm/yyyy		
Title	Surname	Forename(s) (in full)
Date of Birth dd/mm/yyyy		
Title	Surname	Forename(s) (in full)
Date of Birth dd/mm/yyyy		

If the address of the joint applicants is different to that of the first applicant, we must be advised of their address(es) on a separate sheet to be sent with this application form

If you are an existing unit holder please provide your plan number.

DESIGNATION (Maximum of 15 characters)

Please state the designation in the box below. OEICS may not be registered in the name of a minor (under 18 years of age) but should be registered in the name of an adult and designated in favour of the minor using the child's initials eg John Brown a/c RB. Investments on behalf of a Trust must be registered in the name(s) of the individual Trustee(s) but an appropriate designation may be used.

Designation

INVESTMENT

Please indicate the amount you wish to invest in the OEIC(s). (Please note the minimum initial investment for each OEIC.):

OEIC	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT	OEIC	AMOUNT TO INVEST	MINIMUM INITIAL INVESTMENT
Retail Class Accumulation Shares	£	£1,000	Institutional Class Accumulation Shares	£	£100,000
Retail Class I Income Shares	£	£1,000	Institutional Class Income Shares	£	£100,000

VERIFICATION

In order to comply with our obligations under anti-money laundering legislation we are required to verify the identity of all new applicants. To enable us to comply with the legislation please produce one document from List A **OR** one document from List B and one document from List C below. Please provide us with current copies certified by a professional person (i.e. a Doctor, Bank Manager, Lawyer/Attorney, Teacher or other regulated professional including the certifiers name, profession, place of work or company stamp, date of certification and confirmation that the original has been seen). For security reasons please do not send original documents.

<p>List A</p> <ul style="list-style-type: none"> Full UK or other national passport UK or other national photo card driving licence National ID Card (Non UK Nationals) Firearms certificate or shotgun licence 	<p>List B</p> <ul style="list-style-type: none"> Valid old style UK Driving Licence Recent evidence of entitlement to state or local government funded benefit, tax credit, personal education or other grant 	<p>List C</p> <ul style="list-style-type: none"> Instrument of court appointment (liquidator or grant of probate) Utility bill (but not printed off the internet) Current Council tax demand, letter or statement Current bank, building society, credit/debit card statement issued by a regulated firm in the UK, EU or similar jurisdiction (but not printed off the internet).
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CONTINUED OVERLEAF

BENEFICIAL OWNER

If the beneficial owner of the investment is different to the named applicant(s) please disclose the full name(s) of individual(s) or organisations that ultimately own or control the investment. There are additional requirements for partnerships, trusts and executors and personal representatives for the estates of deceased persons. Please telephone the Dealing and Registration Team on 020 7131 4951 for further details.

PAYMENT

Please make your cheque payable to **Smith & Williamson Fund Administration Limited** and return it with this application form to 25 Moorgate, London, EC2R 6AY.

Or telegraphic transfers can be made to the following account.

Branch: Sort Code 15-10-00 Royal Bank of Scotland – City Office

Account number: 17487062 Account name: Smith & Williamson Fund Administration Limited

INCOME PAYMENTS

Please indicate how you wish to have the income paid:

DIRECT TO BANK/BUILDING SOCIETY – please give payment details

Bank or Building Society

Branch Title

Account Name

Account Number

Sort Code - -

RE-INVESTMENT

DECLARATION AND SIGNATURES

- I/We have read and understood the Simplified Prospectus document.
- I/We understand that Smith and Williamson may need to use the credit reference/information agencies in order to satisfy Smith and Williamson’s statutory money laundering obligations. These agencies may keep a record of this enquiry.
- I/We confirm that all applicants are at least 18 years of age.

Signature – APPLICANT 1	Date
Signature – APPLICANT 2	Date
Signature – APPLICANT 3	Date
Signature – APPLICANT 4	Date

CONTINUED OVERLEAF

FINANCIAL ADVISER DETAILS (if applicable)

Name	
Company	
Address	
Postcode	Telephone No

COMMISSION	<input type="text"/>	%
DISCOUNT	<input type="text"/>	%
TRAIL COMMISSION	<input type="text"/>	%

DATA PROTECTION

We shall record any information (including, where appropriate, personal data as defined in the Data Protection Act 1998) which we receive about you and your investments (whether in relation to this fund or any other) in physical and electronic form and will organise and process such information as we think appropriate in connection with the administration of your investments.

We may: (i) disclose your information where under a legal or regulatory obligation to do so; (ii) use your information for marketing, research and statistical analysis purposes; and (iii) disclose your information to third party entities which provide us with administrative support and technological back up services.

We may disclose your information to third party promoters of this fund only (but not to any other third parties) for marketing, research, statistical analysis and administration purposes.

If you would prefer us not to disclose your information to such third parties, please tick this box.

Where we hold personal data, you are in many cases entitled to a description of the personal data which we hold about you. We may charge a small fee for providing such information.