

# SMITH & WILLIAMSON FUND ADMINISTRATION LIMITED

## S&W KENNOX STRATEGIC VALUE FUND ("The Fund" ) APPLICATION FORM FOR ADVISED & INSTITUTIONAL INVESTORS

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

### REGISTRATION DETAILS

BLOCK CAPITALS

Name	
Address	
	Postcode
Contact Name	
Contact Number	

### JOINT APPLICANT(S) (if applicable – maximum three)

Title	Surname	Forename(s) (in full)

Title	Surname	Forename(s) (in full)

Title	Surname	Forename(s) (in full)

If the address(es) of the joint applicant(s) 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.

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### DESIGNATION (Maximum of 15 characters)

Please state your preferred designation (if required). The Fund 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.

Designation

### 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 Transfer Agency Team on 0141 222 1151 for further details.

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### VERIFICATION

Please provide an authorised signatory list for the institution for which the investment will be registered. This must be certified by at least one of the authorised signatories included in that list and accompanied by adequate identification documentation. If you have any queries as to what information to provide for verification purposes, please call the Transfer Agency Team on 0141 222 1151.

**CONTINUED OVERLEAF**

In order to comply with the Foreign Account Tax Compliance Act (FATCA) regulations please select the appropriate FATCA classification (please only tick one box):

1. A Participating Financial Institution  Please quote your Global Intermediary Identification Number (GIIN)
2. A certified deemed compliant Financial Institution
3. A Non participating Financial Institution

## INVESTMENT

Please indicate the amount you wish to invest in the Fund. (Please note the minimum initial investment for each share class):

<b>Income Shares</b>	<b>AMOUNT TO INVEST</b>	<b>MINIMUM INITIAL INVESTMENT</b>	<b>Accumulation Shares</b>	<b>AMOUNT TO INVEST</b>	<b>MINIMUM INITIAL INVESTMENT</b>
Professional Net Income Shares (GB00B2R8FY91) 1.3% Investment Adviser's Fee	£ <input type="text"/>	£20,000	Professional Net Acc Shares (GB00B9DH0K00) 1.3% Investment Adviser's Fee	£ <input type="text"/>	£20,000
Institutional Net Income Shares (GB00B3YDJ200) 1% Investment Adviser's Fee	£ <input type="text"/>	£2,000,000	Institutional Net Acc Shares (GB00B8Y8GR43) 1% Investment Adviser's Fee	£ <input type="text"/>	£2,000,000
Class A Net Income Shares (GB00B9D9Z904) 0.8% Investment Adviser's Fee	£ <input type="text"/>	£20,000,000	Class A Net Acc Shares (GB00B9B3CY80) 0.8% Investment Adviser's Fee	£ <input type="text"/>	£20,000,000

## PAYMENT

Payment can be made by cheque or telegraphic transfer:

### By Cheque

Please make your cheque payable to **Smith & Williamson Fund Administration Limited** and return it with this application form to **206 St Vincent Street, Glasgow, G2 5SG.**

### By Telegraphic Transfer

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

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

**CONTINUED OVERLEAF**

**REDEMPTION PROCEEDS**

Please provide bank details for where you wish redemption proceeds to be paid:

Bank or Building Society

Branch Title

Account Name

Account Number

Sort Code   -   -

**FOR INCOME SHARES ONLY**

**INCOME PAYMENTS**

Please indicate how you wish to have the income applied from one of the two options below:

**DIRECT TO BANK/BUILDING SOCIETY**

If payment details are the same as for redemption proceeds, please tick this box:

If payment details are different from those for redemption proceeds, please enter here:

Bank or Building Society

Branch Title

Account Name

Account Number

Sort Code   -   -

Or

**RE-INVESTED IN THE FUND**

## DECLARATION AND SIGNATURES

- I/We have read the Key Investor Information Document (KIID) and the Supplementary Information Document (SID).
- 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

## FINANCIAL ADVISER DETAILS (if applicable)

Name	
Company	
Address	
Postcode	Telephone No

## 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.

Any person about whom we hold personal data has the right upon payment of a fee to obtain a copy of that personal data.

**Smith & Williamson Fund Administration Limited**

**Registered in England at 25 Moorgate, London EC2R 6AY No 1934644  
Authorised and regulated by the Financial Conduct Authority**