

# C4C INVESTOR ACCOUNT

## ISA Form

Application Form to subscribe to a Castlefield ISA

Application Form to transfer your existing ISA(s) to Castlefield

Please note: Castlefield Investment Partners LLP is not a Financial Adviser or Financial Planner. It is therefore important that you have already reached a decision as to the basic suitability of the investment account which will be covered by this Agreement. This decision should be reached with reference to your overall financial affairs with the help of a Financial Adviser or Financial Planner.



THE THOUGHTFUL INVESTOR



# ISA SUBSCRIPTION/TRANSFER FORM

## Your Details

Title:  Full name:

Permanent residential address:   
  
 Postcode

Date of birth (DD/MM/YYYY):   /   /

National Insurance Number:

## Your Subscription Instructions

I apply to subscribe to an ISA (Stocks & Shares Component) for the tax year **2016/2017**.

Subscription Amount:  
(Maximum £15,240)  £

Please tick ONE of the following options:

Cheque enclosed (payable to "Pershing Securities Ltd")

**OR**

Please transfer cash

## Your Investment Instructions

I wish to transfer, with immediate effect, my Individual Savings Account(s) to Castlefield and to arrange for the transfer of my investments to the Castlefield ISA in the form of:

- Cash  
 Stock  
 Please incorporate the ISA within my investment account

## Income Payments

If you currently receive a regular income payment from your investment account, you will also receive any income generated from your ISA.

**Having read the ISA Terms and Conditions, which can be found at [Castlefield.com](http://Castlefield.com), please read, sign and date the "Declaration & Authority" section overleaf. For transfers please complete the 'Instructions to your Existing Plan Manager' section.**

Castlefield is a trading name of Castlefield Investment Partners LLP (CIP) and a registered trade mark and the property of Castlefield Partners Limited. CIP is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange. Registered in England & Wales No. 0C302833. Registered Office St George's House, 215-219 Chester Road, Manchester M15 4JE. Part of the Castlefield employee-owned group. Member of the Employee Ownership Association.

# ISA SUBSCRIPTION/TRANSFER FORM

## Declaration and Authority

I wish to subscribe/transfer to a Castlefield ISA.

### I declare that:

- I am aged 18 or over.
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crowd 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 Castlefield 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 agree to be bound by the Terms and Conditions applicable to the Castlefield ISA and give the warranties contained therein. A copy of the current ISA Terms and Conditions has been supplied to me.
- I have read and understood the ISA Terms and Conditions (found in Appendix 4 of the Capital for Colleagues Terms of Business, available at [www.castlefield.com](http://www.castlefield.com)).
- All subscriptions made, and to be made, belong to me.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA and 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.
- This application form has been completed to the best of my knowledge and belief. I will notify Castlefield without delay of any change in the information given.

### I authorise Castlefield:

- To receive and hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash in the ISA.
- To make on my behalf any claims to relief from tax in respect of the ISA investments.

**Money Laundering Regulations:** under these regulations there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity. This will normally be a passport or similar form of identity check, together with proof of address from a utility bill or bank statement.

### Data Protection Act 1998:

- The information you provide on your application form (or subsequently) will be held and processed by Castlefield as data controller for the purposes of the Data Protection Act 1998.
- We may hold and process information for the administration of the service(s) for which you are currently applying or may apply for in future, for the operation of your investment (e.g.: for registration and distribution purposes), for the purposes of statistical analysis, and the marketing of goods and services by this company or other associate companies.
- **If you do not want your personal data to be used for marketing purposes, please tick this box.**
- We may transfer information to other associate companies and to third party agents of such companies or of this company for any of the above purposes.
- Where a financial adviser acts on your behalf, we will disclose information concerning your investment to that financial adviser.
- Save as noted above, we will not provide to any other third party any information relating to you, unless you have given your consent or unless we are required to do so by law.
- You are entitled to request details of information we may hold about you upon payment of a fee and to require us to correct any inaccuracies in your personal data.

Please note: We may only accept Powers of Attorney (original or certified copy) due to physical or mental incapacity. For physical incapacity it must be accompanied by a written declaration by the person signing the application. A draft declaration can be obtained from Castlefield. In the case of mental incapacity, the Power of Attorney must be registered and stamped by the Court of Protection.

Signature

Full name

Date

# APPLICATION FORM TO TRANSFER YOUR EXISTING ISA(S) TO CASTLEFIELD

## Instructions to your Existing Plan Manager

Please:

- Transfer my ISA(s) as detailed below to Castlefield as soon as possible.
- Acknowledge receipt of these instructions to Castlefield, 111 Piccadilly, Manchester, M1 2HY.
- Supply Castlefield with any information they require about my ISA(s) and comply with all instructions given to you by Castlefield regarding the transfer of my cash and/or shares.
- Liaise with Castlefield whom I have already informed of my transfer request and send a closing statement of my ISA(s) to Castlefield.

ISA Account Number(s):

Name of Existing Plan Manager:

Address of Existing Plan Manager:   
  
Postcode:

Signature:

Date:

## Investor's Details

Title:  Full name:

Permanent residential address:

Date of birth (DD/MM/YYYY):  /  /

National Insurance Number:

## Investor's Instructions

I wish to transfer, with immediate effect, my Individual Savings Account(s) to Castlefield and to arrange for the transfer of my investments to the Castlefield ISA in the form of:

Cash

Stock

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0161 233 4890  
castlefield.com

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INVESTMENT MANAGEMENT

