

# CASTLEFIELD PORTFOLIO FUNDS

## ISA Form

Application Form to subscribe to a Castlefield Funds ISA

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

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THE THOUGHTFUL INVESTOR

Please complete this form and return it to your financial adviser, or to:  
Castlefield Fund Partners Limited, Hamilton Centre, Rodney Way, Chelmsford, CMI 3BY.

All cheques should be drawn on a bank account held in your own name and payable to: Castlefield Fund Partners Limited.

**Important:**

Before completing this form, please read the **Key Investor Information Document** and the **Supplementary Information Document** for the relevant share class of the Fund(s) you wish to invest in or transfer into. Copies are available on our website [www.castlefield.com](http://www.castlefield.com), calling **0345 026 4284** or emailing [castlefield@maitlandgroup.co.uk](mailto:castlefield@maitlandgroup.co.uk)

Please let us know what type of investment you would like to make by ticking the relevant box below.

ISAs  I wish to invest in a Stocks and Shares ISA.

- If you are applying for a ISA in this tax year, you should complete sections **1, 2, 3, 4, 5** and **9**.
- If you wish to receive income by share encashment, please complete section **6**.
- If you wish to contribute monthly by direct debit, please complete section **7**.
- Your financial adviser should complete sections **2** and **11**.
- If you are investing without the services of a financial adviser, you must complete section **8**.

If you require ISA application forms for other eligible members of your family, please ask your financial adviser.

ISA transfers  I wish to consolidate my existing ISAs.

- If you are consolidating your existing ISAs through a ISA transfer, you should complete sections **1, 2, 3, 4, 5, 9** and **10**.
- If you wish to receive income by share encashment, please complete section **6**.
- Your financial adviser should complete sections **2** and **11**.
- If you are investing without the services of a financial adviser, you must complete section **8**.

A separate application form must be completed for each ISA applicant. Joint applications are not permitted for ISAs.

## SECTION 1

### Personal details

If you are an existing Castlefield account holder, please quote your reference number:

Title:

Full name:

Permanent residential address:

  
  

Postcode:

Telephone numbers  
(inc STD code):

Home:

Mobile:

Email address:

National Insurance Number:

(You should be able to find your National Insurance Number on a payslip, form P45 or P60, a letter from HM Revenue & Customs, a letter from the DWP or a pension order book)

If you **do not** have a National Insurance Number, please tick here:

Date of birth (DD/MM/YYYY):

 /  / 

Place and country of birth:

Please provide your own personal security question and answer which will be required each time you telephone for information on your account (for example "what was the name of my first school", "what is my mother's first name", "what was the name of my first pet" or "what was the name of my favourite childhood friend").

Security question:

Security answer:

## SECTION 2

### Investment advice

Please indicate whether you have received advice from a financial adviser on this investment and provide their details.

Castlefield Fund Partners Limited will not pay commission to any financial adviser or facilitate adviser charging in respect of these investments.

I have received advice from the following financial adviser

Company:

Address:

<input type="text"/>	
<input type="text"/>	
<input type="text"/>	Postcode: <input type="text"/>

I have not received advice from a financial adviser

To be completed by your financial adviser.

Financial adviser stamp

FCA number:

## SECTION 3

### Fund choice

Please choose which Funds you wish to invest in and insert an amount in the appropriate box(es) that follow. You can invest with a lump sum and/or monthly contributions. If you are transferring an existing ISA, please choose which Funds you want your monies transferred into and insert the percentage split in the appropriate boxes.

**Minimum investment for ISAs:**

£500 lump sum, £50 monthly per Fund.\*\*

**Maximum investment for ISAs:**

£20,000 (2019/20 tax year)

I apply to subscribe for a Stocks and Shares ISA for the tax year 20  / 20  and each subsequent year until further notice.

**There is no maximum ISA transfer.**

Castlefield Portfolio Funds	ISA Investment	ISA monthly Investment*	ISA Transfer
B.E.S.T Sustainable Portfolio Fund - General Income Shares	£	£	%
B.E.S.T Sustainable Portfolio Fund - Founder Income Shares**	£	£	%
<b>Total</b>	<b>£</b>	<b>£</b>	<b>%</b>

\*Monthly contributions must be rounded in £10 amounts. If you have chosen monthly contributions, please complete the direct debit instructions in section 7 and ensure that a cheque from the same account, made payable to Castlefield Fund Partners Limited, is submitted with this application form to represent the first contribution. Contributions will be collected from your bank on the first working day of the month.

\*\*The Founder Income Share Class is only available to investors who subscribe for shares during the initial offer period. The Founder Income Share Class will be closed to new investment once the value of shares exceeds £20m.

**Income Shares:** Your share of the net income of the Fund is paid to you in cash unless you have elected to reinvest the income, whereby additional shares will be purchased at no cost. Please complete section 5.

## SECTION 4

### Bank/Building Society details for payments to you

Please complete your account details below in order that we can make any income payments or redemption payments to your bank or building society. In order to verify the account, we require EITHER: An original voided cheque; An original paying in slip; A bank statement not older than six months, either an original or a copy certified by an appropriate person (solicitor, accountant or your bank/building society manager). Internet based bank statements are not acceptable.

Please inform us if you change your bank account, as you will need to provide new evidence so we can verify the account.

Bank/Building Society:	<input type="text"/>		
Address:	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Name of account to be credited:	<input type="text"/>		
Sort code:	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	Account No.: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Building Society reference or roll number:	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		

## SECTION 5

### Income payments

Please choose how you would like to receive any income generated from your investment.

If you do not tick either of these boxes, your net income will automatically be reinvested.

Income sent direct to your bank/building society  Please ensure that you complete your bank account details in section 4.

Income reinvested to purchase more shares

## SECTION 6

### Income withdrawal by share encashment

You can choose to receive a monthly cash amount by encashing some of the shares in your investment. Please ensure you complete your bank account details in section 4. Please choose where you want your cash withdrawn from and insert the amount in the appropriate box(es) below (minimum £50 per Fund and per investment option, per month to the nearest whole pound). **Please bear in mind that the higher the level of cash withdrawal, the greater risk of capital erosion.**

Castlefield Portfolio Funds	ISA Investment	ISA monthly Investment*	ISA Transfer
B.E.S.T Sustainable Portfolio Fund - General Income Shares	£	£	%
B.E.S.T Sustainable Portfolio Fund - Founder Income Shares**	£	£	%
<b>Total</b>	<b>£</b>	<b>£</b>	<b>%</b>

## SECTION 7

Direct debit for regular savers - instruction to your Bank/Building Society to pay by direct debit



The bank account must be held in your own name.

Name and full postal address of your Bank or Building Society:

Castlefield Fund Partners' reference number (office use only)

To the Manager:

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Bank/Building Society Address:

**Your instructions to the Bank/Building Society**

Please pay Castlefield Fund Partners Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Castlefield Fund Partners Limited and, if so, details will be passed electronically to my Bank Building Society.

Postcode:

Name(s) of Account Holder(s):

Bank/Building Society Account Number:

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Signature 1:

Signature 2:

Branch Sort Code:

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Date (DD/MM/YY):

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Banks and building societies may not accept Direct Debit instructions for some types of account.

This guarantee should be detached and retained by the Payee.



### The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Castlefield Fund Partners Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Castlefield Fund Partners Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit by Castlefield Fund Partners Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
  - If you receive a refund you are not entitled to, you must pay it back when Castlefield Fund Partners Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

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## SECTION 8

### Applicant identity verification

#### Money Laundering Regulations 2017

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 and date of birth. This will normally be a passport or similar form of identity check together with proof of address from a recent utility bill. Alternatively, electronic checking systems may be used to verify identity, including credit agencies which may keep a record of this information although this is only to verify your identity and will not affect your credit rating. The information you provide on your application form (or subsequently) will be held and processed by Castlefield Fund Partners (a subsidiary of Castlefield Partners Limited) as data controller for the purposes of General Data Protection Regulation and the Data Protection Act 2018.

#### Do you have a financial adviser?

- Yes, your financial adviser should complete section 11.
- No, please complete the following Applicant Identity Verification section.

If you are investing directly without the services of a financial adviser we will need to verify your identity. We need to see certified copies\* of either your current passport or full driving licence, and a recent (within the last six months) bank statement or utility bill (not a mobile telephone bill, copies printed off the internet cannot be accepted) showing your current address.

**\*copies must be certified by either a solicitor, accountant, or your bank/building society manager.**

**Please tick both boxes below to confirm that the relevant identity check documents are enclosed.**

Proof of identity:  Copy of passport or full driving licence

Proof of address:  Bank statement or utility bill

(If you do not have a current passport/full driving licence, please contact us on 0345 026 4284 to discuss other documentation which may be acceptable as proof of identity.)

If certified copies are included with this application pack, please complete the following details for the person(s) certifying the documents (continue on a separate sheet if necessary):

#### Certified by:

Name:

Address:

Postcode:

Occupation:

Telephone number:

This application form, along with the relevant Prospectus, Key Investor Information Document and Supplementary Information Document each as amended from time to time, forms the agreement upon which Castlefield Fund Partners Limited intends to rely and will govern all sums now and in future invested unless the parties agree otherwise in writing. The current version of each document will be available on our website [www.castlefield.com](http://www.castlefield.com). For your own benefit and protection, you should read these terms carefully before signing them. If you do not understand any point, please ask for further information.

## SECTION 9

### The Declaration and Authority

I apply to subscribe to the Castlefield Stocks and Shares ISA and/or transfer my existing ISA to Castlefield Fund Partners Limited. **I confirm that I have received financial advice/not received financial advice (delete as appropriate)**. I enclose a cheque for the lump sum/monthly contribution stated in section 3 made payable to Castlefield Fund Partners Limited.

I authorise Castlefield Fund Partners Limited to make any income payments as instructed in section 5, and/or redemption payments, to the bank or building society shown in section 4. Castlefield Fund Partners Limited does not accept any responsibility for the quotation of building society account numbers and the quotation of any such number(s) is entirely at the risk of the investor.

I understand that Castlefield Investment Funds is utilising the delivery versus payment exemption for the purpose of settling a transaction in relation to units in a regulated collective investment scheme and therefore my money may not be treated as client money for the period up to the close of business on the business day following the date of receipt of the money.

#### I declare that:

- I am aged 18 or over.
- 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 overseas), are treated as being performed in the United Kingdom, or am married to, or in civil partnership with a person who performs such duties, and will inform Castlefield Fund Partners 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.
- All subscriptions made, and to be made, to the ISA belong to me and I am the beneficial owner of the funds being used for this ISA.
- I agree to be bound by the Terms and Conditions applicable to the ISA and give the warranties contained therein.
- The information given in this Application Form/Transfer Form is true and correct to the best of my knowledge and belief. I will notify Castlefield Fund Partners Limited without delay of any change in the information given.
- I understand that the transfer of my ISA may be delayed if this Transfer Form is not complete in all respects.

#### For a new ISA investment:

- I have not subscribed and will not subscribe more than the overall subscription amount in total to a Cash ISA, a Stocks and Shares ISA and an Innovative Finance ISA in the same tax year;
- I have not, and will not, subscribe to another Stocks and Shares ISA, an Innovative Finance ISA and a Lifetime ISA in the same tax year that I subscribe to this Stocks and Shares ISA.

#### I authorise Castlefield Fund Partners Limited:

- 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.
- On my written request to transfer or pay to me, as the case may be, account investments, dividends, rights or other proceeds in respect of such investments, or any cash, held in the account.
- To make on my behalf any claims to relief from tax in respect of account investments.



## SECTION 9 continued

### Data Protection

#### I agree to the following:

- The information I provide on this application form (or subsequently provide) will be held and processed by Castlefield Fund Partners Limited as data controller for the purposes of General Data Protection Regulation and the Data Protection Act 2018.
- Castlefield Fund Partners Limited may hold and process information for the administration of the service(s) for which I am currently applying or may apply for in the future, for the operation of my investment in units or shares (e.g. for registration and distribution purposes), for the purposes of statistical analysis and the marketing of goods or services by this company or other companies in the Castlefield Fund Partners Limited group. This data may be held for up to seven years after your investment ceases, in line with the Law.
- Castlefield Fund Partners Limited may transfer information to other companies in the Castlefield Fund Partners Limited for any of the above purposes. Such third party agents may be in countries located outside of the European Economic Area (EEA). Castlefield Fund Partners Limited will take steps to ensure that my privacy rights are respected since these countries may not have comprehensive data protection and other laws as countries in the EEA.
- Further information about how Castlefield Fund Partners may use your data is available in our privacy notice, which can be accessed at: [www.castlefield.com/privacy-notice](http://www.castlefield.com/privacy-notice)
- If you would like your personal data to be used for marketing purposes, **please tick this box**
- Where a financial adviser acts on my behalf, Castlefield Fund Partners Limited will disclose information concerning my investment to that financial adviser.
- Save as noted above, Castlefield Fund Partners Limited will not provide to any other third party any information relating to me, unless I have given my consent or unless Castlefield Fund Partners Limited is required to do so by law.
- You are entitled to request details of information we may hold about and to require us to correct any inaccuracies in your personal data.
- I declare that I am aged 18 years old or older.

#### I enclose a cheque for the amount to be invested.

On signing this declaration, I confirm that I have read the latest Key Investor Information Document and Supplementary Information Document for the relevant share class of the Fund/s I apply to invest into.

Applicant Signature:

Date:

#### 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 Fund Partners Limited. In the case of mental incapacity, the Power of Attorney must be registered and stamped by the Court of Protection.

## SECTION 10

### ISA Transfer

If you need more instruction forms, please photocopy this sheet before completing.

#### Instruction to existing ISA Manager

Please transfer my existing ISA to Castlefield Fund Partners Limited as instructed below.

Please sell my entire holding  OR Please sell  of my holding Estimated value

Name of existing Plan Manager:

Address of existing Plan Manager:

Postcode:

Account number:

Account name:

Signature:  Date:

Note to existing Plan Manager: we confirm that we are willing to accept the transfer in the form of cash only.

#### Instruction to existing ISA Manager

Please transfer my existing ISA to Castlefield Fund Partners Limited as instructed below.

Please sell my entire holding  OR Please sell  of my holding Estimated value

Name of existing Plan Manager:

Address of existing Plan Manager:

Postcode:

Account number:

Account name:

Signature:  Date:

Note to existing Plan Manager: we confirm that we are willing to accept the transfer in the form of cash only.

## SECTION 11

### Identity Verification – to be completed by your financial adviser

Financial advisers, please complete the following section

Applicant:

Date of commencement of business relationship (DD/MM/YYYY):

I certify that: (please tick as appropriate)

- I have verified the identity of the Applicant in accordance with the Money Laundering Regulations 2017 and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name, address and date of birth as shown in section 1 are correct AND the details of the underlying records of identity are as described below:

#### Certified Copy Attached

Proof of identity:  Copy of passport or full driving licence

Proof of address:  Bank statement or utility bill (not older than 6 months)  
Internet based bank statements and utility bills are not acceptable.

OR

- I have not verified the identity of the Applicant for the following reason:

- I confirm that the Applicant is applying on his/her own behalf and not as nominee or in a fiduciary capacity for any other person.

Financial adviser signature:

Date:

Financial adviser/Consultant name:

Company name:

#### CASTLEFIELD BANKING DETAILS

Castlefield Fund Partners Client Money Account:

Sort Code: 20 - 00 - 00

Client Money Account: 53734048

Address: Barclays, Churchill Place, Canary Wharf, London, E14 5HP

#### ADMINISTRATION QUERIES

For any administration queries, you can contact us at:

Castlefield Fund Partners Limited, Hamilton Centre, Rodney Way, Chelmsford, CMI 3BY

T: 0345 026 4284

E: [castlefield@maitlandgroup.co.uk](mailto:castlefield@maitlandgroup.co.uk)

W: [www.castlefield.com](http://www.castlefield.com)

Fax: 0845 2802419

For your protection, calls may be monitored and recorded for training and quality assurance purposes.

Castlefield is a trading name of Castlefield Fund Partners Limited (CFP) and the property of Castlefield Partners Limited. CFP is authorised and regulated by the Financial Conduct Authority. Number 229057. Registered in England No. 04605261. Registered Office: 111 Piccadilly, Manchester M1 2HY. Part of the Castlefield employee-owned group. Member of the Employee Ownership Association.



THE THOUGHTFUL INVESTOR

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castlefield.com

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INVESTMENT FUNDS



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