

# Application Form

## CFP Castlefield Funds ICVC

## CFP Castlefield Portfolio Funds ICVC

Individual and joint applicants

### **This form can be used to:**

- ✓ Open a new ConBrio General Investment Account (individual and joint applicants only)

### **This form cannot be used to:**

- ✗ Open a corporate General Investment Account (please refer to the corporate, trust, pension and charity applicants General Investment application form)
- ✗ Withdraw funds from your existing General Investment Account (please refer to the General Investment Account Withdrawal form)
- ✗ Make an additional subscription into an existing General Investment Account (please refer to the Additional Subscription form)

## Application Form - Individuals and joint applicants

### Please read before completing the application form

- Please ensure you have arranged payment.
- Please complete this form and return it to your financial adviser, or to the address below:  
ConBrio - Castlefield Investment Partners LLP  
PO Box 12916  
Chelmsford, CM99 2FT
- Where "I" is used in this Application Form, it refers to each of the signatories, and the Declaration is made by each signatory on behalf of all signatories.
- 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.conbriofunds.com](http://www.conbriofunds.com), calling 0330 123 3716 (Castlefield) or emailing [ConBrioEnquiries@uk.dstsystems.com](mailto:ConBrioEnquiries@uk.dstsystems.com)
- Please ensure you have read the ConBrio Terms & Conditions. ([www.conbriofunds.com/terms-conditions](http://www.conbriofunds.com/terms-conditions))
- **Please tick/complete this form, as applicable, using BLOCK CAPITALS and blue or black ink.**

### Name of holder

Title	Surname
Forename(s)	D.O.B.

If the account is for a specific purpose, such as investing on behalf of a minor, you can designate the account for your reference.

Account designation
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### Permanent residential address

Address Line 1	
Address Line 2	
Address Line 3	
Postcode	Email
Telephone	Mobile

Nationality(ies)/ Country(ies) of tax residence	Tax Identification Number(s) (TIN)*	TIN Type(s)

\*For UK investors this is your National Insurance (NI) number

Occupation**
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\*\*If retired, please state your main occupation during your working life

## Application Form - Individuals and joint applicants

### Joint holder

Title	Surname
Forename(s)	D.O.B.

### Permanent residential address

Address Line 1	
Address Line 2	
Address Line 3	
Postcode	Email
Telephone	Mobile

Nationality(ies)/ Country(ies) of tax residence	Tax Identification Number(s) (TIN)*	TIN Type(s)

\*For UK investors this is your National Insurance (NI) number

Occupation**
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\*\*If retired, please state your main occupation during your working life

For additional holders, continue on a separate page

Are any of the individuals listed in the section above, or their immediate family members/close associates, a 'Politically Exposed Person' (PEP), or have been in the last 12 months?

<input type="checkbox"/> Yes	<input type="checkbox"/> No
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If 'Yes' please provide further details:

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## Application Form - Individuals and joint applicants

### Ultimate Beneficial Owner Information

The ultimate beneficial owner of the shares is the person who has the economic benefit of the shares.

In case of a change in ultimate beneficial owner, the investor commits to inform the Registrar and Transfer Agent of the new beneficial owner(s) and in case of any changes to the information provided in this section or any errors or omissions supported by documentary evidence, the investor commits to inform the Registrar and Transfer Agent without any delays and no later than within five business days.

- I/We am/are the ultimate beneficial owner of the Shares  
(Please proceed to section titled 'Source of Wealth' page 5)
- I/We am/are **not** the ultimate beneficial owner of the Shares  
(Please complete 'Information on ultimate beneficial owner' below)

### Information on ultimate beneficial owner

Title	Surname		
Forename(s)		D.O.B.	
Place of Birth			

Nationality(ies)/ Country(ies) of tax residence	Tax Identification Number(s) (TIN)*	TIN Type(s)

\*For UK investors this is your National Insurance (NI) number

Occupation**
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\*\*If retired, please state your main occupation during your working life

### Permanent residential address:

Address Line 1	
Address Line 2	
Address Line 3	Postcode

### Source of wealth

#### Economic source of wealth

I/We confirm that investments into the CFP Castlefield Fund(s):

- a) Are made on my/our own behalf,
- b) Are not of criminal origin, and in particular do not constitute the proceeds of money laundering;
- c) Originate from the following source (please tick the appropriate box).

Savings     Inheritance     Sale of real estate     Redemption from other investment

Salary     Pension     Gift     Lottery

Other (please provide detail)

#### Geographical source of wealth

Please detail the country of source of the funds invested below:

### Expected trading volumes and frequency

Please complete the below section with your expectations in terms of investment in the Fund(s).

The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.

#### Expected frequency of trading

Please tick the anticipated frequency

Single Transaction     Monthly     Annually

Other (please provide detail)

#### Expected investment amount(s)

Please detail amounts by transaction below:

## Investment Choice

Please choose which Funds you wish to invest in and insert an amount in the appropriate box(es) below. You can invest with a lump sum amount and/or monthly contributions in General Shares only.

Minimum investment: £500 lump sum, £50 monthly contributions per Fund (as long as the minimum investment of £500 is met).

Fund	Lump Sum	Monthly*
<b>Castlefield Investment Partners LLP</b>		
CFP Castlefield Thoughtful UK Opportunities Fund – G Income Shares		
CFP Castlefield Thoughtful UK Smaller Companies Fund – G Income Shares		
CFP Castlefield Thoughtful European Fund – G Income Shares		
CFP Castlefield Thoughtful Portfolio Growth Fund – G Income Shares		
CFP Castlefield Thoughtful Portfolio Income Fund – G Income Shares		
CFP Castlefield Real Return Fund – G Income Shares		

\*Monthly contributions must be rounded in £10 amounts. If you have chosen monthly contributions, please complete the direct debit instruction at the end of this form and ensure that a cheque from the same account, made payable to ConBrio 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.

**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.

## 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 details on page 8)
- Income reinvested to purchase more shares

### 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 on page 8. 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.**

Fund	Monthly income withdrawal
<b>Castlefield Investment Partners LLP</b>	
CFP Castlefield Thoughtful UK Opportunities Fund – G Income Shares	
CFP Castlefield Thoughtful UK Smaller Companies Fund – G Income Shares	
CFP Castlefield Thoughtful European Fund – G Income Shares	
CFP Castlefield Thoughtful Portfolio Growth Fund – G Income Shares	
CFP Castlefield Thoughtful Portfolio Income Fund – G Income Shares	
CFP Castlefield Real Return Fund – G Income Shares	

### Payment Method

- Cheque enclosed payable to ConBrio Fund Partners Limited
- Electronic transfer to ConBrio Fund Partners Limited  
(Please make your payment using your surname as the reference.)  
Account Name: ConBrio FP Ltd Dealing  
Dealing Sort: 16-50-50  
Account Number: 84328056  
Address: Bank of America,  
5 Canada Square,  
London,  
E14 5AQ
- Direct Debit, for regular monthly savings (Please complete Direct Debit)

## Application Form - Individuals and joint applicants

### Bank/Building Society details for redemptions and income distributions

Please complete your account details below so 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, 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:

Bank / Building Society:	
Address Line 1	
Address Line 2	
Address Line 3	Postcode
Name of Account to be credited:	
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"/> <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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



## Adviser/Agent Details

Financial advisers/agents, please complete the following section

As adviser/agent on the deal, I/we certify that:

- The identity of the above-named investor(s) has/have been verified by me/us in accordance or at a level exceeding the standard evidence set out in the guidance for the UK financial sector issued by the Joint Money Laundering Steering Group (JMLSG).
- The documentary evidence to support the identification is held by me/us and can be produced on demand.

Financial Adviser/Agent name:

Company name:

Financial services register number:

Stamp (including registered address)

Signature

Date

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

## Adviser Authorisation

The applicant should complete and sign this section.

Where "I" is used, it refers to each of the signatories, and the Declaration is made by each signatory on behalf of all signatories.

I, the applicant, authorise ConBrio Fund Partners Limited to accept instructions, as relates to the below activities, on my behalf from the adviser/agent appointed by me.

Please tick the appropriate box(es).

Obtain information about investments held, including valuations and transaction history

Update information on the account, such as correspondence address

Provide dealing instructions

If at any later date I no longer wish the adviser/agent to be authorised to provide instructions, I will advise ConBrio Fund Partners Limited in writing, and acknowledge that the authorisation given will remain effective until that revocation has been received by ConBrio Fund Partners Limited, or until such later date as I shall specify.

Signature

Date

## **Declaration and signature(s)**

### The Declaration and Authority

**Where “I” is used in this Application Form, it refers to each of the signatories below, and the Declaration is made by each signatory on behalf of all signatories.**

**I apply to make the investment(s) in the fund(s) specified and confirm that I have received financial advice/ not received financial advice (delete as appropriate).**

I enclose a cheque(s) for the amount(s) stated in the preceding pages made payable to ConBrio Fund Partners Limited or have otherwise arranged payment as outlined in the form above.

I authorise ConBrio Fund Partners Limited to make any income payments, as instructed, and/or redemption payments to the bank or building society shown in preceding pages. ConBrio 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 ConBrio Fund Partners Limited 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 the information provided on this form is to the best of my knowledge and belief, accurate and complete. I agree to notify ConBrio Fund Partners Limited immediately in the event the information in relation to tax residency changes.

In line with current money laundering regulations, I accept that ConBrio Fund Partners Limited will undertake a search with a credit reference agency for the purposes of verifying my identity. To do so the credit reference agency may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained. I may also be required to provide further information in order for you to verify my identity.

### Data Protection

#### **I agree to the following:**

- The information I provide on this application form (or subsequently provide) will be held and processed by ConBrio Fund Partners Limited as data controller for the purposes of General Data Protection Regulation and the Data Protection Act 2018.
- ConBrio Fund Partners Limited may hold and process personal information including sensitive personal data 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 by this company or other companies in the Thesis Unit Trust Management Limited group. This data may be held for up to seven years after my investment ceases, in line with the Law.
- ConBrio Fund Partners Limited may transfer information to other companies in the Castlefield Partners Limited group of companies for any of the above purposes. Such third-party agents may be in countries located outside of the UK or the European Economic Area (EEA). ConBrio 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 inside the UK or the EEA.
- Further information about how ConBrio Fund Partners Limited may use data is available in the privacy notice, which can be accessed at: [www.conbriofunds.com/privacy-notice](http://www.conbriofunds.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, ConBrio Fund Partners Limited will disclose information concerning my investment to that financial adviser.
- Save as noted above, ConBrio Fund Partners Limited will not provide to any other third party any information relating to me, unless I have given my consent or unless ConBrio Fund Partners Limited is required to do so by law.

## Application Form - Individuals and joint applicants

- I am entitled to request details of information ConBrio Fund Partners Limited may hold about me and to require ConBrio Fund Partners Limited to correct any inaccuracies in my personal data.
- I declare that I am aged 18 years old or older

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

Signature(s)

**All applicants must sign**

### Named Holder

Signature

Date

### Joint Holder

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

### Send the completed form to:

ConBrio - Castlefield Investment Partners LLP  
PO Box 12916, Chelmsford, CM99 2FT

## Checklist

**Once you have signed the application, please check that you have completed all applicable sections and enclosed the following: (as applicable)**

- Signed Cheque (or have otherwise arranged payment as outlined in form above)
- Direct Debit Form



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ConBrio is a trading name of ConBrio Fund Partners Limited (CFP) and a registered trade mark. CFP is authorised and regulated by the Financial Conduct Authority Number 229057. Registered in England and Wales Nos. 04605261. Registered Office: Exchange Building, St John's Street, Chichester, PO19 1UP. ConBrio is a subsidiary of Thesis Unit Trust Management Limited.

29/11/2024