

# Additional Permitted Subscription (APS) ISA Application and Transfer Form

## CFP Castlefield Funds ICVC

## CFP Castlefield Portfolio Funds ICVC

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

- ✓ Open an Additional Permitted Subscription (APS) ISA with ConBrio regardless of whether your late spouse/civil partner held a ConBrio ISA or they held ISA(s) with another ISA manager.
- ✓ Transfer an APS allowance to a ConBrio APS ISA (where your late spouse/civil partner held ISA(s) with another ISA manager).

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

- ✗ Make an additional cash subscription to an existing ConBrio APS ISA (please refer to the APS ISA additional subscription form).

**Please read before completing the application form**

- 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 all the signatories below, 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.**

## Section A: Additional Permitted Subscription (APS) Application

### Your Details

Title	Full name
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#### Permanent residential address

Address Line 3	Postcode
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Date of birth (dd/mm/yyyy)

National Insurance Number

## Additional Permitted Subscription (APS) Allowance Form

### Details of the Deceased

Title  Full name

#### Address at date of death

Address Line 1

Address Line 2

Address Line 3  Postcode

Date of birth (dd/mm/yyyy)

National Insurance Number

Date of death (dd/mm/yyyy)

Date of marriage or civil partnership

(Please provide a copy of your marriage/civil partnership certificate)

Marriage or civil partnership relationship to applicant?  Spouse Or  Civil Partner

(If applicable) Deceased's existing ConBrio ISA client identification number:

### APS Allowance Subscription Information

I wish to subscribe  £  from my APS allowance in respect of the deceased and wish to make my subscription to a ConBrio APS ISA.

In cash Or  In specie (by the transfer of the deceased's existing ISA investments in ConBrio funds that have remained with the ISA manager or nominee) to the amount or value as at date of death if lower.\*

Please be aware that once a subscription to an APS allowance has been made, any future subscriptions under that APS allowance MUST be made to this ISA manager along with an APS Subscription Eligibility Declaration.

\*Please note that only ConBrio Fund Partners' funds can be held within an ConBrio ISA. When selecting the 'In specie' transfer option any other investments will be transferred as cash, to the amount or value as at the date of death if lower.

## Additional Permitted Subscription (APS) Allowance Form

### Investment Choice

Please choose which Funds you wish to invest in and insert an amount in the appropriate box(es) below.

Fund	Amount	ISA/ Transfer
<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		%
<b>Total</b>	<b>£</b>	<b>100%</b>

**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.

### 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

### **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 6. 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.**

<b>Fund</b>	<b>Monthly income withdrawal</b>
<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	

### **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 6)

Income reinvested to purchase more shares

## Additional Permitted Subscription (APS) Allowance Form

### 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"/>

## Additional Permitted Subscription (APS) Allowance Form

### 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 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 Thesis Unit Trust Management 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.



## Additional Permitted Subscription (APS) Allowance Form

- 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

### APS Eligibility Declaration

**This section must be completed to confirm the investor is eligible to make an additional permitted subscription to an ISA in respect of the deceased named on this application.**

I declare that:

- I am the surviving spouse/civil partner of the deceased.
- I was living with the deceased within the meaning of section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership has broken down).
- The subscription is made under the provisions of regulation 5DDA of the ISA regulations (APS).
- I am aged 18 or over.
- I have read and understood the Terms and Conditions (available at [www.conbriofunds.com](http://www.conbriofunds.com)).
- All subscriptions made, and to be made, belong to me.
- This application form has been completed to the best of my knowledge and belief. I will notify ConBrio without delay of any change in the information given.
- The subscription is being made:
  - In the case of 'in specie' subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, which ever is the later).
  - In the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).
- 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.

I authorise ConBrio:

- 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.

Signature

Date

## Section B: Additional Permitted Subscription (APS) Transfer Authority

Complete this section only if you wish to transfer your APS allowance to a ConBrio APS ISA, where your late spouse/civil partner held ISA(s) with an ISA manager other than ConBrio.

If the deceased held ISAs with multiple ISA managers please complete an additional APS Transfer Authority for each.

### Investor Details

Title  Full name

#### Permanent residential address

Address Line 1

Address Line 2

Address Line 3  Postcode

Date of birth (dd/mm/yyyy)

National Insurance Number

### Details of the Deceased

Title  Full name

#### Address at date of death

Address Line 1

Address Line 2

Address Line 3  Postcode

Date of birth (dd/mm/yyyy)

National Insurance Number

Date of death (dd/mm/yyyy)

Date of marriage or civil partnership

(Please provide a copy of your marriage/civil partnership certificate)

Marriage or civil partnership relationship to applicant?  Spouse Or  Civil Partner

## Additional Permitted Subscription (APS) Allowance Form

### APS Allowance Transfer Information

Name of deceased's ISA manager:

Address of deceased's ISA manager

Address Line 1

Address Line 2

Address Line 3

Postcode

Deceased's existing ISA account number(s)

Aggregated value of APS allowances in respect of ISAs held by the deceased at their date of death (APS value)

£

**Please be aware that an APS allowance can only be transferred once and only where no subscriptions have been made under that APS allowance. Once transferred, subscriptions may only be made in cash. If multiple ISAs were held by the deceased with the ISA manager, their value will be combined to form one APS allowance.**

## Additional Permitted Subscription (APS) Allowance Form

### APS Eligibility Declaration

**This section must be completed to confirm the investor is eligible to transfer an additional permitted subscription allowance in respect of the deceased named on this authority form.**

**I declare that:**

- I am the surviving spouse/civil partner of the deceased;
- I was living with the deceased within the meaning of section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership has broken down);
- I have not subscribed to and will not subscribe to the additional permitted subscription allowance with the existing ISA provider of the deceased in respect of the deceased named on this application;
- I intend to make an additional permitted subscription allowance to ConBrio Fund Partners (ConBrio).

I authorise the existing ISA provider of the deceased as specified above to provide ConBrio with any information, written or non written, concerning the APS allowance and former ISA in respect of myself and the deceased and to accept any instruction from them relating to the APS allowance being transferred.

I understand that the transfer of my APS allowance may be delayed if this Transfer Form is not complete in all respects.

**I declare that this APS transfer application form has been completed to the best of my knowledge and belief.**

Signature

Date

**Transfer Acceptance:**

The Investor detailed above has notified us that they wish to make an additional permitted subscription to a ConBrio APS ISA and wishes to transfer their APS Allowance from the Deceased's ISA manager detailed above to ConBrio.

ConBrio are willing to accept this APS allowance transfer in line with the investor's instructions above. We confirm that, subject to relevant checks, we are willing to accept an additional permitted subscription application from the investor.

## Additional Permitted Subscription (APS) Allowance Form

### Instructions to the Existing ISA Manager

**Please:**

- Transfer the APS allowance as detailed above to ConBrio as soon as possible.
- Acknowledge receipt of these instructions to the below:  
  
ConBrio – Castlefield Investment Partners LLP  
PO Box 12916, Chelmsford, CM99 2FT
- Supply ConBrio with any information they require about the APS allowance and comply with all instructions given to you by ConBrio regarding the transfer of cash and/or shares.
- Liaise with ConBrio whom I have already informed of my transfer request and send a closing statement of the APS to ConBrio.

**Send the completed form to:**

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

## Additional Permitted Subscription (APS) Allowance Form

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