

# Application Form

## CFP Castlefield Funds ICVC

## CFP Castlefield Portfolio Funds ICVC

ISA / JISA applicants

**This form can be used to:**

- ✓ Open a new ConBrio Individual Savings Account (ISA)
- ✓ Open a new ConBrio Junior Individual Savings Account (JISA)
- ✓ Transfer your existing ISA(s) into a ConBrio ISA
- ✓ Transfer your existing JISA(s) into a ConBrio JISA

**This form cannot be used to:**

- ✗ Make an additional subscription into an existing ISA / JISA (please refer to the Additional Subscription form)
- ✗ Withdraw funds from your existing ISA / JISA (please refer to the Withdrawal form)
- ✗ Switching your investments within your existing ISA/JISA (please refer to the Fund Switching form)

### 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 the signatory, and the Declaration is made by the signatory on behalf of the account holder.
- 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.**
- **A separate application form must be completed for each ISA or JISA applicant. Joint applications are not permitted for ISAs or JISAs.**

If you would like to transfer an existing ISA/JISA into a ConBrio ISA/JISA, please complete the transfer section at the end of this form.

### Name of holder (ISA Applicant or JISA Child Applicant’s parent/guardian)

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

### Child Details (JISA Applicants only)

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

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?

Yes  No

If 'Yes' please provide further details:

### 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)

I am applying to subscribe to a ConBrio ISA / JISA for up to the maximum subscription for the tax year 20  / 20  and each subsequent year until further notice.

**There is no maximum ISA / JISA transfer (Please complete the ISA / JISA transfer section on page 14)**

Fund	Lump Sum	Monthly	ISA/ JISA 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>£</b>	<b>100%</b>

\*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.

### 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)

### Income withdrawal by share encashment (ISA only)

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	

### 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 below)
- Income reinvested to purchase more shares

### 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.**

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

**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.

### ISA Applicants:

#### 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 ConBrio 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 ConBrio 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.
- 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 ConBrio Fund Partners Limited:

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

## Application Form - ISA / JISA applicants

### JISA Applicants:

#### I declare that:

- I am 16 years of age or over
- I am the Child/I have parental responsibility for that child
- I/the Child does not have a Child Trust Fund account
- I will be the registered contact for the JISA
- The Child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant
- I have not subscribed and will not subscribe to another JISA of this type for this child
- I am not aware that this child has another JISA of this type
- I am not aware of other JISA subscriptions that will result in this child exceeding the annual limit
- I will not knowingly make subscriptions to JISAs for this child that will result in the subscription limit being exceeded
- Any subscriptions I make into the account are a gift to the Child and cannot be returned if I change my mind.
- The Child will assume full responsibility for the account on their 18th birthday.
- No withdrawals can be made from the account before the Child's 18th birthday.

#### I authorise ConBrio Fund Partners Limited:

- to hold the Child's subscriptions, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash, and
- to make on the Child's behalf any claims to relief from tax in respect of JISA investments.

### 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 Castlefield Partners 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.
- 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.

## Application Form - ISA / JISA applicants

I enclose a cheque for the amount to be invested.

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

### 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 (If applicable)
- ISA/JISA Transfer (If applicable)

**Application Form - ISA / JISA applicants**

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



**The bank account must be held in the name of one or more of the applicants.**

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

To the Manager:

ConBrio Fund Partners' reference number (office use only)

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Bank/Building Society Address:

Your instructions to the Bank/Building Society

Please pay ConBrio 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 ConBrio Fund Partners Limited and, if so, details will be passed electronically to my Bank Building Society.

Postcode:

Name(s) of Account Holder(s):

Signature 1:

Bank/Building Society Account Number:

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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, ConBrio Fund Partners Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request ConBrio 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 ConBrio 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 ConBrio 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.

### ISA/JISA Transfer

Complete this section if you wish to transfer your existing ISA(s)/JISA(s). If you need more instruction forms, please photocopy this sheet before completing.

#### Instruction to existing ISA/JISA Manager

**Please transfer my existing ISA/JISA to ConBrio 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:

Account No

Signature

Date

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

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