



## Fortress Bond ISA transfer form May 2019

Please complete all **four pages** of this form using BLOCK CAPITALS and black ink and sign and date the section called "Declaration and authorisation".

Once complete, please return it to: **Castle Trust, PO Box 6965, Basingstoke, RG24 4XE**

Your Fortress Bond ISA will not start until we have accepted your fully completed application and ISA Transfer Authority forms and received the ISA investment amount from your current ISA Fund Manager.

A Fortress Bond ISA is a Stocks & Shares ISA. If you are unsure about the suitability of this investment, please contact a financial adviser.

### Personal details

Title	<input type="text"/>	Date of birth	<input type="text" value="DD / MM / YYYY"/>
Surname	<input type="text"/>	Permanent residential address	<input type="text"/>
Forename(s)	<input type="text"/>		<input type="text"/>
Tel. no.	<input type="text"/>		<input type="text"/>
Email address	<input type="text"/>		<input type="text"/> Postcode <input type="text"/>
Country of residence (for tax purposes)	<input type="text"/>	Nationality	<input type="text"/>
Do you already have an investment with us?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If known, please enter client reference number here	<input type="text"/>
Do you have a National Insurance (NI) number?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please enter here	<input type="text" value="-- / -- / -- / -- / --"/>

You should be able to find your NI number on a payslip, P45 or P60, a letter from the HM Revenue & Customs, a letter from the DWP or a pension order book.

### Bank details - for maturity / interest payments by bank transfer

In order to credit your account directly with your maturity / interest payments please fill in your UK bank or building society details below.

Name of bank / building society	<input type="text"/>																	
Name of account holder	<input type="text"/>																	
Sort code	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	Bank account 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"/>
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"/>

## Subscription amount(s)

I wish to invest the following amount(s) via an ISA transfer (minimum £1,000, maximum £250,000 each). Castle Trust does not apply initial or ongoing charges on Fortress Bonds.

Term	AER*	Amount	Interest paid	
1 year bond	1.80%	£	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Maturity
2 year bond	2.05%	£	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Maturity
3 year bond	2.20%	£	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Maturity

\* AER stands for Annual Equivalent Rate and illustrates what the interest rate would be if interest was paid and compounded once each year. This assumes that you invest on the first day of the Offer Period, which is the first business day of the month of the Issue, and receive your cash flows as per the contractual terms.

## Verification process for new clients

Anti-money laundering regulations require all financial institutions to implement client verification procedures for all new clients. We will attempt to verify you electronically, using Experian, on completion of your account set up. This check does not affect your credit rating in any way. If, for any reason, we are unable to complete our full electronic checks then we will write to you and ask you to supply further documentation to verify your identity and address. We will provide a list of documentation which we accept, along with details of who can certify your documentation for you.

## Appropriateness

The questions below are designed to ensure that you have fully considered all the important aspects of your investment.

Do you understand that your capital may be at risk:

Yes  No

i. If you are not eligible for FSCS protection; or

ii. For any amount over £85,000 invested per applicant, regardless of whether or not you are eligible for FSCS protection?

Do you understand that you are not able to cash in your Fortress Bond before the end of the investment term?

Yes  No

Do your financial circumstances enable you to commit your investment in the Fortress Bond for the full investment term?

Yes  No

Do you understand that your return is based on a fixed interest rate?

Yes  No

Have you read and understood the Fortress Bond Terms and Conditions?

Yes  No

If you answer 'No' to any of these questions, we will not be able to accept your application.

## Data protection - please read Use for your information

Castle Trust takes your privacy very seriously. We use the personal information collected via this form and any other information that you provide to us ("your information") for the purposes of:

- Providing you with our products and services and dealing with enquiries and requests;
- Administering your investments;
- Checking your identity to prevent financial crime;
- Carrying out market research, statistical analysis and customer profiling;
- Sending you marketing information (by post, telephone, email and SMS where you have indicated) about products and services of Castle Trust and of third parties whose products and services Castle Trust offers to its customers where these are like those that we have already provided to you; and
- Administrative, compliance, regulatory or law enforcement purposes, whether UK law or otherwise (including, without limitation, for complying with and/ or enforcing money laundering and anti-terrorism laws and regulations).

Your information will be processed as above, in accordance with the data protection laws and any other relevant UK law or

regulation. Castle Trust will not disclose your information to third parties except: (a) to Affiliates; (b) to UK and other government entities and regulatory bodies; (c) to service providers; (d) to Castle Trust's professional advisers; (e) to any other person or entity Castle Trust reasonably thinks customary, necessary or advisable for the processing purposes described above or to whom Castle Trust is obliged by UK or other law or regulation to make the disclosure; or (f) with your consent. You are entitled by law to opt out of use of your information by Castle Trust for direct marketing purposes, to be provided with further information about the processing of your information and access to that information (subject to exceptions) and to require inaccurate personal information to be deleted or corrected. If you wish to exercise any of these rights, you may do so by sending a written request to Castle Trust.

For more information on how we handle your information or to obtain a copy of your information, please visit our Privacy Policy online at [www.castletrust.co.uk](http://www.castletrust.co.uk) or write to us at: DPO, Castle Trust, PO Box 6965, Basingstoke, RG24 4XE.

If you are happy to be contacted by Castle Trust for marketing purposes, please tick the boxes below:

Email

Phone

Post

## Declaration and authorisation

This is our standard client agreement and it incorporates our Terms and Conditions. For your own benefit and protection you should read the Terms and Conditions carefully before signing this Agreement. If you do not understand any point please ask for further information or consult a financial adviser.

Please also read, sign and date the transfer authority overleaf

### For current tax year ISA transfers:

You wish to transfer your existing ISA and subscribe to this stocks and shares ISA for the tax year 2019/2020;

You have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a Stocks & Shares ISA or an Innovative Finance ISA in the same tax year;

You have not subscribed, and will not subscribe, to another Stocks & Shares ISA in the same tax year that you subscribe to this Stocks & Shares ISA;

### For all ISA transfers:

All subscriptions made, and to be made, belong to you;

You are 18 years of age or over;

You authorise Castle Trust Capital Management Limited to hold your cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash; and to make on your behalf any claims to relief from tax in respect of ISA investments;

You are not a US, Australian, Canadian or Japanese citizen, nor are you acting on behalf of a US, Australian, Canadian or Japanese citizen and you will not assist a US, Australian, Canadian or Japanese citizen to acquire this investment. You agree to inform us immediately should you become a US, Australian, Canadian or Japanese citizen;

Signed

You are 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 and Pensions) Act 2003 (Crown Employees serving overseas) are treated as being performed in the United Kingdom, or you are married to, or in a civil partnership with, a person who performs such duties. You will inform Castle Trust if you cease to be so resident or to perform such duties or be married to, or in civil partnership with, a person who performs such duties;

Any information you have provided to us for the purposes of establishing this Fortress Bond ISA is complete and correct in all respects and you will provide any further information that we may reasonably request in order for us to establish this Fortress Bond ISA or comply with all applicable laws or regulations. Failure to do so may adversely affect the quality of the service that we are able to provide.

You consent to Castle Trust Capital Nominees Limited selling your investment to Castle Trust Capital plc on your behalf on the Maturity Date (as such term is defined in the Terms and Conditions which accompany this application form) for an amount not less than the proceeds that you will be due to receive at the Maturity Date;

You agree to and have relied solely on the Terms and Conditions which accompany this application form and the Prospectus; and this application form has been completed and is correct to the best of your knowledge and belief.

Income payments and returns at maturity are paid to you gross, so you'll need to determine whether you need to declare it in a self-assessment tax return (unless you have invested within an ISA). Tax treatment depends on your individual circumstances and may be subject to change.

Date

This form has been approved by Castle Trust Capital Management Limited, and issued by Castle Trust Capital plc and Castle Trust Capital Management Limited. Castle Trust is the trading name of both Castle Trust Capital plc (company number 07454474) and Castle Trust Capital Management Limited (company number 07504954). Castle Trust is authorised and regulated by the Financial Conduct Authority, under reference numbers 541910 and 541893. Registered office: 10 Norwich Street, London, EC4A 1BD. Registered in England and Wales.

# Fortress Bond ISA transfer form May 2019

Please ensure the information you enter on this page is correct, and that it is signed, as it will be sent to your existing ISA manager.

Personal details			
Title	<input type="text"/>	Date of birth	<input type="text" value="DD / MM / YYYY"/>
Surname	<input type="text"/>	Permanent residential address	<input type="text"/>
Forename(s)	<input type="text"/>		<input type="text"/>
Tel. no.	<input type="text"/>	<input type="text"/>	
Email address	<input type="text"/>	<input type="text"/>	Postcode <input type="text"/>
Do you have a National Insurance (NI) number?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please enter here	<input type="text" value="-- / -- / -- / -- / --"/>

You should be able to find your NI number on a payslip, P45 or P60, a letter from the HM Revenue & Customs, a letter from the DWP or a pension order book.

Details about the ISA you want to transfer				
Name of existing ISA Manager	<input type="text"/>			
ISA Manager address (may be different to the branch address – please check)	<input type="text"/>			
	<input type="text"/>	Postcode <input type="text"/>		
ISA sort code (cash ISA only)	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>	ISA account / plan number	<input type="text"/>	
Please note that under HM Revenue & Customs ISA Regulations, you can only subscribe to one stocks and shares ISA in each tax year.				
If you are transferring the current tax year subscriptions please tick this box.	<input type="checkbox"/>	£	<input type="text"/>	
How much have you subscribed in the current tax year?				
Previous tax year(s) subscriptions to an ISA can be transferred in whole or in part. Please indicate which of the following is to be transferred.	<input type="checkbox"/>	The entire ISA	<input type="checkbox"/>	Part of the ISA
If you are transferring part of your ISA please state the amount to be transferred.	<input type="text"/>	OR	<input type="text"/>	%

Your transfer authority	
I authorise the existing ISA manager (specified above) to transfer the ISA (account number above) to Castle Trust Capital Management Limited.	Serve the full notice period before this instruction can be processed <input type="checkbox"/>
I also authorise the existing ISA Manager to provide Castle Trust Capital Management Limited with any information, written or verbal, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.	Or, proceed immediately with the transfer bearing any consequential penalty which may be applied. <input type="checkbox"/>
Where a period of notice is required for closure/part transfer of the existing ISA, I give my consent to either: (if this applies to you, please tick one only, otherwise leave both boxes blank and sign):	Signed <input type="text"/>
	Date <input type="text"/>

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