



For office use only



Fortress Bond ISA application form December 2018

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

Once your application is complete, please write a cheque payable to 'Castle Trust' drawn from a bank account in your name. Your application form and cheque should then both be sent to: Castle Trust, PO Box 6965, Basingstoke, RG24 4XE.

Your Fortress Bond will not start until we have accepted your fully completed application form. We will not accept your application if your selected bond is no longer available. Fortress Bonds are issued on a monthly basis so if we receive this application form after Monday 31 December 2018 we will return your cheque to you if we are no longer offering bonds with your selected interest rate and payment frequency.

A Fortress Bond ISA is a Stocks & Shares ISA. If you are unsure about the suitability of this investment, please consult 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" value="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" value="-- -- -- - -- -- -- - -- -- --"/> Bank account number <input type="text" value="-- -- -- -- -- -- -- -- -- -- -- --"/>
Building society reference or roll number	<input type="text" value="-- -- -- -- -- -- -- -- -- -- -- --"/>

Subscription amount(s)

I wish to invest the following amount(s) (minimum £1,000, maximum £20,000 combined). Castle Trust does not apply initial or ongoing charges on Fortress Bonds.

Term	AER*	Amount	Interest paid	
1 year bond	1.85%	£	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Maturity
2 year bond	2.10%	£	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Maturity
3 year bond	2.25%	£	<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.

Payment method

Once your application is complete, please write a cheque payable to 'Castle Trust' drawn from a bank account in your name. Your application form and cheque should then both be sent to: **Castle Trust, PO Box 6965, Basingstoke, RG24 4XE.**

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:

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

Yes No

ii. For any amount over £50,000 invested, 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 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.

By signing below, you agree, confirm and declare that:

You are applying to subscribe for a Stocks & Shares ISA for the tax year 2018/2019;

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;

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;

You are resident in the United Kingdom for tax purposes or, if

Signed

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 Capital Management Limited 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 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.