Fortress Bond

ISA Transfer Form February 2017

Castle Trust

Please complete all sections 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 11040, Chelmsford, CM99 2DD. **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.** If you are unsure about the suitability of this investment, please contact a financial adviser.

Personal details

Title

Surname

Forename(s)

Tel. no.

Email address

Date of birth DD / MM / YYYY

Permanent residential address

Postcode

Do you already have an investment with us? Yes ☐ No ☐

If known, please enter account number here

Do you have a National Insurance (NI) Number? Yes ☐ No ☐

If yes, please enter here - - / - - / - - / - - / -

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 or building society

Branch

Name of account holder

Branch sort code - -

Bank account number

Building society reference or roll number

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, this is not successful 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
- ii. For any amount over £50,000 invested, regardless of whether or not you are eligible for FSCS protection?

Yes ☐ No ☐

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) about products and services of Castle Trust and of third parties whose products and services
- Castle Trust offers to its customers; 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 Act 1998 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. Castle Trust may charge a reasonable fee, subject to any limit set by data protection law, for responding to a request for further information and/or access.

To obtain a copy of your information, write to us at:
Castle Trust, PO Box 11040, Chelmsford, CM99 2DD.

If you do NOT wish to be contacted by Castle Trust for marketing purposes, please tick here. ☐

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.

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 2016/2017;

All subscriptions made, and to be made, belong to you;
You are 18 years of age or over;

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

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

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

For all ISA transfers:

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;

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.

Signed _____ 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 (all known as Castle Trust).
Castle Trust Capital plc and Castle Trust Capital Management Limited are authorised and regulated by the Financial Conduct Authority.
Castle Trust Capital plc (company number: 07454474) and Castle Trust Capital Management Limited (company number: 07504954) are both registered in England and Wales with registered offices at 10 Norwich Street, London, EC4A 1BD

ISA Transfer Authority

Personal details

Title ☐ Surname ☐ Forename ☐

Details about the ISA you want to transfer

Name of existing ISA Manager ☐

ISA Manager address (may be different to the branch address – please check) ☐

Postcode ☐

ISA sort code (cash ISA only) ☐☐ - ☐☐ - ☐☐

ISA account/ Plan number ☐

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 subsciptions please tick this box. 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. ☐ The entire ISA ☐ Part of the ISA

If you are transferring part of your ISA please state the amount to be transferred. We can only accept investments in whole pounds. ☐ OR ☐ %

Subscription amounts(s)

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

Fortress Bond

Term	AER*	Amount	Interest paid	
1 year	1.50%	£	☐ Quarterly	☐ Maturity
2 years	1.70%	£	☐ Quarterly	☐ Maturity
3 years	1.90%	£	☐ Quarterly	☐ Maturity
5 years	2.50%	£	☐ Quarterly	☐ 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.

Your transfer authority

I authorise the existing ISA manager (specified above) to transfer the ISA (account number above) to Castle Trust Capital Management Limited.

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.

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 below):

Serve the full notice period before this instruction can be processed ☐

Or, proceed immediately with the transfer bearing any consequential penalty which may be applied. ☐

Signed ☐ Date ☐

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