

About you – Applicant 1

Existing CBAM client reference (if applicable)	<input type="text"/>						
Title	<input type="text"/>						
First name(s)	<input type="text"/>						
Surname	<input type="text"/>						
Marital status	<input type="text"/>						
Home telephone	<input type="text"/>						
Mobile telephone	<input type="text"/>						
Permanent residential address (UK mainland and Northern Ireland only. C/o and PO Box not accepted.)	<input type="text"/>						
Postcode	<input type="text"/>						
Is your communication address the same as your residential address?	<input type="checkbox"/> Yes <input type="checkbox"/> No						
If no, communication address	<input type="text"/>						
Postcode	<input type="text"/>						
Email address	<input type="text"/>						
Online access ¹	<input type="checkbox"/> Yes <input type="checkbox"/> No						
Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>						
Town of birth	<input type="text"/>						
Country of birth	<input type="text"/>						
National Insurance 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"/>						
Nationality ²	<table border="1"> <thead> <tr> <th>Country</th> <th>National Client Identifier</th> </tr> </thead> <tbody> <tr> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </tbody> </table>	Country	National Client Identifier	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country	National Client Identifier						
<input type="text"/>	<input type="text"/>						
<input type="text"/>	<input type="text"/>						
Secondary Nationality	<input type="text"/>						

Please note any sections that are not completed correctly may incur delays or may have to be returned to you.

¹ If you require online access you must provide us with an email address. Where you have an online account, you will receive all correspondence online. Should you require paper copies of your documents, please tick here.

² If you have a UK Nationality you do not need to provide your National Insurance number here again if you have provided this above.

Investment funding method – ISA – Applicant 1

How would you like to fund your ISA?

New Stocks and Shares subscription for the tax year / and each successive year until further notice.

<input type="checkbox"/>	Cheque made payable to "Close Asset Management Ltd" ¹	£
<input type="checkbox"/>	Bank transfer ²	
<input type="checkbox"/>	Direct Debit	
<input type="checkbox"/>	Monthly	
<input type="checkbox"/>	Quarterly	
<input type="checkbox"/>	Annually	
	Start date <input type="text"/> / <input type="text"/> / <input type="text"/> ³	
<input type="checkbox"/>	Existing CBAM Investment Account ⁴	

Transfer/s from other manager(s)

In cash In specie Part cash, part in specie

Number of Transfer Authority forms completed
Please complete one Transfer Authority form per manager

TOTAL
(approximately)

£
(approximately)

£

Automatic ISA subscriptions

Would you like to automatically fund this ISA in future years from a Close Investment Account on an annual basis? ⁵

Yes – name(s) of Investment Account owner(s)

Notes

¹ Cheques must be raised from your personal or joint bank account. Building society and banker's drafts must bear your name and the bank's official stamp and signature.

² Please obtain our bank details and your reference for bank transfers.

³ Start date must be between 1st and 28th. Please allow 15 working days from our receipt of your application for the first payment to be collected.

⁴ Please complete an 'Internal Transfer and Reinvestment Form'.

⁵ Any sale of holdings within your Investment Account will be made without reference to your Capital Gains Tax (CGT) position and could give rise to a CGT liability. You will receive notification of both the sale and reinvestment of your holdings within the ISA account. Your money will not be invested in the markets during this reinvestment period.

Close Brothers Asset Management will not be liable for any potential loss should the price of your original investments increase during this period.

How would you like to invest the money in your account?

Close Discretionary Funds

Close Discretionary Fund (X Class)	Inc units ¹	Acc units	£ Investment OR	% Investment
Sustainable Select Fixed Income Fund			£	%
Diversified Income Portfolio Fund			£	%
Conservative Portfolio Fund			£	%
Balanced Portfolio Fund			£	%
Sustainable Balanced Portfolio Fund			£	%
Growth Portfolio Fund			£	%
Managed Income Fund			£	%
Managed Conservative Fund			£	%
Managed Balanced Fund			£	%
Managed Growth Fund			£	%
Tactical Select Passive Conservative Fund			£	%
Tactical Select Passive Balanced Fund			£	%
Tactical Select Passive Growth Fund			£	%

¹ Where you have purchased income units, the dividend/interest payments will be made to your nominated bank account.

External manager funds

External fund name	Sedol code	Inc/Acc ¹	£ investment OR	% Investment
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%
			£	%

How would you like to invest the money in your account?

Managed Portfolio Service (MPS)

	£ Investment OR	% Investment
Income Plus	£	%
Conservative	£	%
Balanced	£	%
Growth	£	%

Income MPS

How would you like to distribute the income (interest and dividends) generated by your account?

Reinvest into my portfolio at CBAM's discretion

Pay the income to my nominated bank account

Monthly Quarterly

How would you like to invest the money in your account?

Discretionary Management Service (DMS) ¹

	£ Investment OR	% Investment	Fee for investment management
Defensive Income	£	%	%
Income Plus	£	%	%
Conservative	£	%	%
Balanced	£	%	%
Growth	£	%	%

Tick here if you require the Socially Responsible Investment (SRI) portfolio ²

¹ Please provide a passport, driving licence, or W8BEN form to enable us to minimise withholding taxes on dividends received from US holdings.

² Note that the SRI portfolio is not available for Defensive Income

Stock restrictions - DMS

Are there any equities that we should not purchase?

Name(s) of equity(ies)

Income - DMS

How would you like to distribute the income (interest and dividends) generated by your account?

Reinvest into my portfolio at CBAM's discretion

Pay the income to my nominated bank account

Monthly Quarterly

Regular Withdrawals

Would you like to take a regular withdrawal from your investments? ¹

Name(s) of Owner(s)	Wrapper	Investments	Fixed Amount	Frequency
	<input type="checkbox"/> Investment Account		£	<input type="checkbox"/> Monthly
	<input type="checkbox"/> ISA			<input type="checkbox"/> Quarterly
				<input type="checkbox"/> Half yearly
				<input type="checkbox"/> Annually
				Start date
	<input type="checkbox"/> Investment Account		£	<input type="checkbox"/> Monthly
	<input type="checkbox"/> ISA			<input type="checkbox"/> Quarterly
				<input type="checkbox"/> Half yearly
				<input type="checkbox"/> Annually
				Start date
	<input type="checkbox"/> Investment Account		£	<input type="checkbox"/> Monthly
	<input type="checkbox"/> ISA			<input type="checkbox"/> Quarterly
				<input type="checkbox"/> Half yearly
				<input type="checkbox"/> Annually
				Start date
	<input type="checkbox"/> Investment Account		£	<input type="checkbox"/> Monthly
	<input type="checkbox"/> ISA			<input type="checkbox"/> Quarterly
				<input type="checkbox"/> Half yearly
				<input type="checkbox"/> Annually
				Start date

¹ Payments will be made to your nominated bank account. Start date must be between 1st and 28th of month, allow 15 working days from our receipt of this application and funding before the first payment is made. We will sell your investments to cover your regular withdrawal amount.

Nominated bank account(s)

Which account(s) would you like to nominate for payments in and out of your investments?

Account name	<input type="text"/>		
Account number	<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank/building society name	<input type="text"/>		
Sort code	<input type="text"/>	-	<input type="text"/>
Reference / building society roll number	<input type="text"/>		
Applies to investments owned	<input type="checkbox"/>	by	<input type="text"/>
	<input type="checkbox"/>	by	<input type="text"/>
	<input type="checkbox"/>	Jointly	
Evidence of bank account provided	<input type="checkbox"/>	Original postal bank statement dated within last three months attached	
	<input type="checkbox"/>	Voided cheque attached	

ISA Declaration

For your own benefit and protection, please carefully read the document titled 'Close Brothers Asset Management Terms and Conditions' which includes our risk warnings, upon which we intend to rely. If you do not understand any point please ask your financial planner for further information.

I am applying to subscribe to an ISA and declare that:

- All subscriptions made, and to be made, belong to me;
- I am 18 years of age or over;
- I have not subscribed/made payments, and will not subscribe/make payments, more than the overall subscription/payment limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year;
- I have not subscribed, and will not subscribe, to another Stocks and Shares ISA in the same tax year that I subscribe to this Stocks and Shares ISA; and
- 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 Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Close Asset Management Limited (CAML) ¹ 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.

I authorise CAML:

- To hold my cash subscription/payment, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
- To make on my behalf any claims to relief and tax in respect of ISA investments and any other cash;
- On my written request to transfer or pay to me, as the case may be, my ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash; and
- To manage this and any subsequent ISA subscriptions on the same basis as my main portfolio or existing ISA.

I declare that:

- The information given is correct to the best of my knowledge and belief;
- I will inform CAML of any changes to the information given on this form; and
- I have read and agree to the 'Close Brothers Asset Management Terms and Conditions', which shall constitute my agreement with CAML for the management of the ISA.

Where I have applied to automatically fund my ISA, I declare that:

- I wish to subscribe to an ISA, starting the tax year after CAML accepts this form, and in each subsequent tax year, and invest the permitted maximum amount;
- I understand that if I have requested future subscriptions be transferred from an existing Investment Account that I will be subscribing the maximum Stocks and Shares ISA contribution or the remaining balance of said account (whichever is less) to the Stocks and Shares ISA detailed above, starting the tax year after CAML accepts this form;
- I understand that each annual ISA contribution will be invested on the same basis as my main portfolio or existing ISA; and
- I understand that I must notify CAML in writing to cancel this instruction, and that this cancellation notice must be received by CAML at least 14 days before the end of the tax year.

¹ Close Asset Management Limited (CAML) is the principal operating company of Close Brothers Asset Management.

General Declaration

For your own benefit and protection, please carefully read the document titled 'Close Brothers Asset Management Terms and Conditions' which includes our risk warnings, upon which we intend to rely. If you do not understand any point please ask your financial planner for further information.

- I confirm that I have read and agree to the 'Close Brothers Asset Management Terms and Conditions'.

Applicant signature

Signature

Print name (BLOCK CAPITALS)

Date of signature

D	D	M	M	Y	Y	Y	Y
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To set up a regular savings plan or to make a single payment please complete the Direct Debit instruction below and sign and date the form where indicated.

Please retain this guarantee for your records.

The Direct Debit Guarantee

- This guarantee is offered by all banks and building societies that accept instructions to pay by Direct Debit.
- If there are any changes to the amount, date or frequency of your Direct Debit Close Asset Management Limited will notify you 10 business days in advance of your account being debited or as otherwise agreed. If you request Close Asset Management Limited to collect a payment, confirmation of the amount and the 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 Close Asset Management 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 Close Asset Management 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 notify us.



Direct Debit Mandate

Instruction to your bank or building society to pay by Direct Debit.

Please pay Close Asset Management Limited from the account detailed in this instruction subject to the safeguards assured Direct Debit Guarantee. I understand that this instruction may remain with Close Asset Management Limited and, if so, details will be passed electronically to my bank/building society. Banks and building societies may not accept Direct Debit instructions for some types of accounts.

Name(s) of account holder – third parties are not accepted	<input type="text"/>
Service User Number	<input type="text" value="275071"/>
Bank/building society 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"/>
Branch sort code	<input type="text"/> <input type="text"/> <input type="text" value="-"/> <input type="text"/> <input type="text"/> <input type="text" value="-"/> <input type="text"/> <input type="text"/>
Reference	<input type="text"/>
Date	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>

Name and full postal address of your bank or building society

To: The Manager	<input type="text"/>
Bank or building society name and address	<input type="text"/>
Postcode	<input type="text"/>
Print name (BLOCK CAPITALS)	<input type="text"/>
Signature	<input type="text"/>
Date of signature	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>



Instructions to your bank or building society

Please pay Close Asset Management 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 Close Asset Management Limited and, if so, details will be passed electronically to my bank/building society.