Application Form

Corporate, trust, pension and charity applicants

This form can be used to:

- ✓ Open a new ConBrio General Investment Account
  (corporate, nominee, pension, charity and other entity applicants only)

This form cannot be used to:

- ✗ Open an individual or joint General Investment Account
  (please refer to the Individual and Joint applicant General Investment application form)
- ✗ Withdraw funds from your existing General Investment Account
  (please refer to the General Investment Account Withdrawal form)
- ✗ Make an additional subscription into an existing General Investment Account
  (please refer to the Additional Subscription 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 either of the below dependent upon the selection in Part A of this form:

ConBrio – Castlefield Investment Partners LLP	ConBrio – Sanford DeLand Asset Management Ltd
PO Box 12916 Chelmsford, CM99 2FT	PO Box 12918 Chelmsford, CM99 2FU

- Where "I" is used in this Application Form, it refers to each of the signatories below, and the Declaration is made by each signatory on behalf of all signatories.
- 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, calling **0330 123 3716 (Castlefield)** or **0330 123 3739 (Sanford DeLand)** or emailing ConBrioEnquiries@uk.dstsystems.com
- **Please tick/complete this form, as applicable, using BLOCK CAPITALS and blue or black ink.**

Section 1 – Organisation Details

Understanding the legal form of your organisation will assist in ensuring that appropriate information to open your account is provided at the earliest opportunity, helping to prevent delays in the completion of your application. We may request further information from you if required to comply with our Anti-Money Laundering obligations.

Please tick the appropriate applicant type below and then complete form relevant to your applicant type on the following pages.

Type of Applicant

☐ **Corporate** (please go to pg.3 then complete sections A, B and C.)

☐ **Trust** (please go to pg.4 then complete sections A, B and C.)

☐ **Pension** (please go to pg.5 then complete sections A, B and C.)

☐ **Charity** (please go to pg.6 then complete sections A, B and C.)

Corporate applicants

Full name of corporate entity

Registered address

Address Line 1

Address Line 2

Address Line 3 | Postcode

Correspondence address (if different from above)

Address Line 1

Address Line 2

Address Line 3 | Postcode

Company registration number

Country of registration

Contact

Contact Name | Email

Website | Telephone

Name of all directors (private companies only)

☐ The organisation is investing in its own funds

☐ The organisation is investing on behalf of another individuals(s) or organisation/entities e.g. acting as a nominee, distributor or custodian

Please confirm the nature of the relationship if acting on behalf of another

Name of regulated parent company (If different to the name of the holder)

Regulatory authority and regulatory reference number

Please continue to pg. Part A – Investment choice (pg.7)

Trust applicants

Primary Trustee Name

Second Trustee Name

Third Trustee Name

Fourth Trustee Name

Trust Name/Designation

Purchases for children must be registered in the name of an adult designated with the name of the child

Registered address

Address Line 1

Address Line 2

Address Line 3

Postcode

Correspondence address (if different from above)

Address Line 1

Address Line 2

Address Line 3

Postcode

Contact

Contact Name

Email

Website

Telephone

The type of trust (will trust, discretionary trust, etc.)

The nature and purpose of the trust

Country of establishment

Please continue to pg. Part A – Investment choice (pg.7)

Pension Scheme applicants

Name of Pension Scheme

Please select the type of pension you are investing for:

- ☐ Self Invested Personal Pension (SIPP)
- ☐ Personal Pension Scheme
- ☐ Small Self Administered Scheme (SSAS)
- ☐ Other (please describe below)
- ☐ Occupational Pension Scheme

Please confirm the HMRC and TPR registration of the scheme.

By completing the application form you provide us authority to check with HMRC and TPR where necessary.

Registered address

Address Line 1

Address Line 2

Address Line 3 | Postcode

Correspondence address (if different from above)

Address Line 1

Address Line 2

Address Line 3 | Postcode

Contact

Contact Name | Email

Website | Telephone

Please continue to pg. Part A – Investment choice (pg.7)

Charity applicants

Full name of corporate entity

Registered address

Address Line 1

Address Line 2

Address Line 3 | Postcode

Correspondence address (if different from above)

Address Line 1

Address Line 2

Address Line 3 | Postcode

Company registration number

Country of registration

Contact

Contact Name | Email

Website | Telephone

Charity registration number

Description of aims and activities

Countries of operation

Please continue to pg. Part A – Investment choice (pg.7)

PART A - 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

Fund	Lump Sum	Monthly
Castlefield Investment Partners LLP		
CFP Castlefield B.E.S.T Sustainable Income Fund – General Income Shares		
CFP Castlefield B.E.S.T Sustainable UK Opportunities Fund – General Income Shares		
CFP Castlefield B.E.S.T Sustainable UK Smaller Companies Fund – General Income Shares		
CFP Castlefield B.E.S.T Sustainable European Fund – General Income Shares		
CFP Castlefield B.E.S.T Sustainable Portfolio Growth Fund - General Income Shares		
CFP Castlefield B.E.S.T Sustainable Portfolio Income Fund - General Income Shares		
CFP Castlefield Real Return Fund - General Income Shares		
Sanford DeLand Asset Management Ltd		
CFP SDL UK Buffettology Fund – General Income Shares		
CFP SDL UK Buffettology Fund – General Accumulation Shares		
CFP SDL Free Spirit Fund – General Income Shares		
CFP SDL Free Spirit Fund – General Accumulation Shares		

*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. If you have chosen income shares, please complete the following section: Income payments

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 on page 9)

☐ Income reinvested to purchase more shares

Income withdrawal by share encashment

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 9. 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
Castlefield Investment Partners LLP	
CFP Castlefield B.E.S.T Sustainable Income Fund – General Income Shares	
CFP Castlefield B.E.S.T Sustainable UK Opportunities Fund – General Income Shares	
CFP Castlefield B.E.S.T Sustainable UK Smaller Companies Fund – General Income Shares	
CFP Castlefield B.E.S.T Sustainable European Fund – General Income Shares	
CFP Castlefield B.E.S.T Sustainable Portfolio Growth Fund - General Income Shares	
CFP Castlefield B.E.S.T Sustainable Portfolio Income Fund - General Income Shares	
CFP Castlefield Real Return Fund - General Income Shares	
Sanford DeLand Asset Management Ltd	
CFP SDL UK Buffettology Fund – General Income Shares	
CFP SDL UK Buffettology Fund – General Accumulation Shares	
CFP SDL Free Spirit Fund – General Income Shares	
CFP SDL Free Spirit Fund – General Accumulation Shares	

Bank/Building Society details for redemptions and income distributions

Please complete your account details below in order 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, either 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: | | - | | - | | Account No: | | | | | | | | |

Building Society reference or roll number:

Payment Method

Below are our bank details for investments into our Funds. You are required to send us the exact amount quoted within four days of your application being received, so please ensure that you have arranged payment in good time. Payments received before or after this time can and will be returned, and we reserve the right to cancel your investment if money is not received within the settlement period.

ConBrio Banking Details

Client Money Account:	Castlefield FP Ltd Dealing
Sort Code:	16-50-50
Client Money Account:	84328056
Address:	**Bank of America,** 5 Canada Square, London, E14 5AQ

Please make your payment using the applicant name as the reference.

Cheques

All cheques should be drawn on a bank account held in one or more of the applicant's name and payable to ConBrio Fund Partners Limited.

Adviser/Agent Details

Financial advisers/agents, please complete the following section

As 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 in writing, and acknowledge that the authorisation given will remain effective until that revocation has been received by ConBrio Fund Partners, 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.

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 information 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 and the marketing of goods or services by this company or other companies in the Castlefield Partners Limited group. This data may be held for up to seven years after your investment ceases, in line with the Law.
- ConBrio Fund Partners Limited may transfer information to other companies in the Castlefield Partners Limited group for any of the above purposes. Such third-party agents may be in countries located outside of 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 in the EEA.
- Further information about how ConBrio Fund Partners may use your data is available in our privacy notice, which can be accessed at: 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.
- You are entitled to request details of information we may hold about and to require us to correct any inaccuracies in your personal data.
- I declare that I am aged 18 years old or older.

On signing this declaration, I confirm that I have read the latest Key Investor Information Document and Supplementary Information Document for the relevant share class of the Fund/s I apply to invest into.

Declaration for Trustees:

We appoint ConBrio Fund Partners Limited under the power and authority given to us by the Trust Deed and we delegate to ConBrio Fund Partners Limited (and authorise them to sub-delegate) the investment of the Trust property delivered to ConBrio Fund Partners Limited from time to time on the terms described in the relevant Fund Key Investor Information Document and Supplementary Information Document. We hereby represent and warrant that we are empowered by the said Trust Deed to delegate our function in the manner described above.

On signing this declaration, I confirm that I have read the latest Key Investor Information Document and Supplementary Information Document for the relevant share class of the Fund/s I apply to invest into.

Applicant Signature	Date

Applicant Signature	Date

Note: We may only accept Powers of Attorney (original or certified copy) due to physical or mental incapacity. For physical incapacity it must be accompanied by a written declaration by the person signing the application. A draft declaration can be obtained from ConBrio Fund Partners Limited. In the case of mental incapacity, the Power of Attorney must be registered and stamped by the Court of Protection.

If the application is for a trust investment, we may need to verify all beneficial owners of the trust, depending on the Trust Deed. Please enclose the Trust Deed and signatory list with this application.

PART B - Beneficial Owners

Use this section to give details of parties to the investment who fall into one of the categories listed.

A beneficial owner is the individual or individuals who ultimately own or control the applicant entity. The individual or individuals identified as beneficial owners will depend on the legal structure of the applicant. A "beneficial owner" of a corporate entity or a partnership is any individual who controls the entity, exercises ultimate control over the management of the entity or owns or controls (in each case whether directly or indirectly), including through bearer share holdings or by other means, more than 25% of the shares or voting rights in the entity. For a trust, a beneficial owner includes:

- the trustees;
- the settlor of the trust;
- the beneficiary of the trust (where a trust is for the benefit of a class of beneficiaries, the class of beneficiaries should be described, and further information may be requested); and
- any individual who has control over the trust.

You do not need to complete this section if your company is a listed company or a majority owned and consolidated subsidiary of a listed company.

Non-Individual (e.g. Corporate Trustee, Corporate Member or Corporate Director)

Name:

Business address

Address Line 1

Address Line 2

Address Line 3

Postcode

Capacity and percentage of ownership (if applicable)

Named beneficiaries or class of beneficiary*

* Examples of classes of beneficiaries include grandchildren and the homeless

Individuals

Beneficial owner category (please tick one):

☐ Trustee ☐ Beneficiary ☐ Settlor ☐ Protector

☐ Charity Officer ☐ Other (Please specify)

% Ownership (if applicable)

Title	Surname	D.O.B

Permanent residential address:

Address Line 1

Address Line 2

Address Line 3 | Postcode

Beneficial owner category (please tick one):

☐ Trustee ☐ Beneficiary ☐ Settlor ☐ Protector

☐ Charity Officer ☐ Other (Please specify)

% Ownership (if applicable)

Title	Surname	D.O.B

Permanent residential address:

Address Line 1

Address Line 2

Address Line 3 | Postcode

Beneficial owner category (please tick one):

☐ Trustee ☐ Beneficiary ☐ Settlor ☐ Protector

☐ Charity Officer ☐ Other (Please specify)

% Ownership (if applicable)

Title	Surname	D.O.B

Permanent residential address:

Address Line 1

Address Line 2

Address Line 3 | Postcode

Individuals (continued)

Beneficial owner category (please tick one):

☐ Trustee ☐ Beneficiary ☐ Settlor ☐ Protector

☐ Charity Officer ☐ Other (Please specify)

% Ownership (if applicable)

Title	Surname	D.O.B

Permanent residential address:

Address Line 1

Address Line 2

Address Line 3 | Postcode

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:

PART C - Tax residency self-certification

Entity Self-certification

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account with HMRC. Please complete all relevant sections as directed. If you have any questions about the information requested, please consult your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Tax residency information

Please state the country in which your organisation is resident for tax purposes:

Please provide us with your organisation's Tax Identification Number (TIN):

2. Organisation's classification under applicable tax regulations

A. If the organisation is **not** a specified person in the country stated above, please tick this box ☐

B. Classification

2.1	UK Financial Institution or a partner Jurisdiction Financial Institution	☐
2.2	Participating Foreign Financial Institution	☐
2.3	Non-Participating Foreign Financial Institution	☐
2.4	Financial Institution resident in the USA or in a US Territory	☐
2.5	Deemed Compliant Foreign Financial Institution (besides those listed above)	☐
2.6	Exempt Beneficial Owner	☐
2.7	Active Non-Financial Entity	☐
2.8	Passive Non-Financial Entity (PNFE)	☐

(An Investment Entity or PNFE will be required to submit individual tax residence self-certifications for each of its Controlling Persons.)

C. If your organisation is a financial institution, please tick this box if it's an Investment Equity ☐

Declaration

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 immediately if information on this self-certification form changes (including any changes to Controlling Persons).

Signed by

On behalf of (organisation name)

Position (in organisation)

Organisation address

Address Line 1

Address Line 2

Address Line 3

Postcode

Country of incorporation of organisation

Signatures*	Capacity	Date

Please provide two authorised signatures with capacities.

Individual Self-certification

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account with HMRC. Please complete all relevant sections as directed. If you have any questions about the information requested, please consult your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Tax residency information

Individual Name

Country/Countries of Tax Residency

Tax Reference Number

Declaration

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 immediately if any of this information changes in the future.

Name

Permanent residential address

Address Line 1

Address Line 2

Address Line 3 | Postcode

Country | D.O.B.

Applicant Signature | Date

Name

Permanent residential address

Address Line 1

Address Line 2

Address Line 3 | Postcode

Country | D.O.B.

Applicant Signature | Date

Send the completed form to the below dependent upon the selection of Fund(s) made in Part A:

ConBrio – Castlefield Investment Partners LLP
PO Box 12916, Chelmsford, CM99 2FT

Tel: 0330 123 3716 (UK)
0203 975 1021 (Overseas)

ConBrio – Sanford DeLand Asset Management Ltd
PO Box 12918, Chelmsford, CM99 2FU

Tel: 0330 123 3739 (UK)
0203 975 1028 (Overseas)

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 (pg.20)
- ☐ Tax declaration (pg.16-18)

ConBrio is a trading name of ConBrio Fund Partners Limited (CFP) and the property of Castlefield Partners Limited. ConBrio Fund Partners Limited (CFP) is authorised and regulated by the Financial Conduct Authority Number 229057. Registered in England and Wales Nos. 04605261. Registered Office: 111 Piccadilly, Manchester, M1 2HY. Part of the Castlefield Partners Limited employee owned group. Member of the Employee Ownership Association.

TNCOAPAK/09072020

EMPLOYEE OWNERSHIP

Application Form – Corporate, trust, pension and charity 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:

Bank/Building Society Address:

Postcode:

Name(s) of Account Holder(s):

Bank/Building Society Account Number:

Branch Sort Code:

Date (DD/MM/YY):

ConBrio Fund Partners' reference number (office use only)

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.

Signature 1:

Signature 2:

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.