

Additional Permitted Subscriptions (APS) Allowance Application Form Direct Investment Service

1. Investor details

Existing CBAM Client Reference
(if applicable)

Title

First name(s)

Surname

Date of birth

D D / M M / Y Y Y Y

National Insurance number

☐ Please tick this box if you have not been issued with a National Insurance number.

Permanent residential address
(Care of and PO Box addresses
are not acceptable. Only UK
mainland and Northern Ireland
addresses are acceptable.)

Postcode

Home telephone

Work telephone

Mobile telephone

Email address

Online access ¹

Yes

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 and you will receive all correspondence online. Should you require paper copies of your documents, please tick here

² This is mandatory for the application to proceed. If this is missing, the application will be returned to you.

2. Details of the Deceased

Title

First name(s)

Surname

Date of birth

D D / M M / Y Y Y Y

National Insurance number
(if known)

Date of death

D D / M M / Y Y Y Y

Permanent residential address at
their date of death

Postcode

Date of marriage or civil
partnership between the investor
and deceased ²

D D / M M / Y Y Y Y

3. APS allowance information

I (the investor) wish to subscribe

from my APS allowance in respect of the deceased and wish to make my subscription to a Close Brothers Stocks & Shares ISA ³:

☐ In cash; or

☐ BACS payment ⁴

☐ Transfer from another client ⁵

☐ In-specie; or

☐ Both in-specie and in cash ⁶

In-specie amount approx.

In cash amount approx.

³ Close Brothers will only allow one-off subscriptions to an APS allowance and as such, if this subscription does not utilise all of your APS allowance, the unused balance of your allowance will be lost and cannot be used with Close Brothers or transferred to another ISA manager. If you are using an APS Allowance from an ISA held outside of Close Brothers the APS Transfer Authority Form must also be completed.

Please note that in-specie subscriptions can only be made using assets that were previously held by the deceased in their ISA with Close Brothers. Assets will be valued at the date of subscription but the amount transferred cannot exceed the value of the APS.

4. Investment details

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

Close Funds Umbrella (X Class)	Inc units	Acc units	£ Investment	OR	% Investment
Select Fixed Income			£	OR	%
Diversified Income Portfolio			£	OR	%
Conservative Portfolio			£	OR	%
Balanced Portfolio			£	OR	%
Sustainable Balanced Portfolio			£	OR	%
Growth Portfolio			£	OR	%
Managed Income Fund			£	OR	%
Managed Conservative Fund			£	OR	%
Managed Balanced Fund			£	OR	%
Managed Growth Fund			£	OR	%
Tactical Select Passive Conservative Fund			£	OR	%
Tactical Select Passive Balanced Fund			£	OR	%
Tactical Select Passive Growth Fund			£	OR	%
Other Close Funds (X Class)	Inc units	Acc units	£ Investment	OR	% Investment
Select Global Equity			£	OR	%
FTSE techMARK			£	OR	%

- ⁴ Send BACS transfers to:
Close Brothers Asset Management
Sort Code: 16-04-00
Account number: 31319546
Payments made by BACs transfer must include your surname and initial in the reference field. Funds should not be sent until after we have recieved this form and must be from a verified bank account. We may have to return the funds if we do not have this on file.
- ⁵ If transferring internally from another client you also need to complete an Executors Internal transfer authority form
- ⁶ Where you are funding your APS ISA part in-specie, part in cash, please indicate accordingly.

5. Third party funds

Third party fund name	Sedol code	Inc/Acc	£ Investment	OR	% Investment
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%
			£	OR	%

Income 7

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

☐ Reinvest the income back into the same investments within the account

☐ Leave the income as cash in the account

☐ Pay the income to my nominated bank account

☐ Monthly ☐ Quarterly

7 Important – this will override any existing income settings on your account. What you select here will apply to all holdings in your ISA.

8 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. Where possible we will take your preferences into account, if we can't make your first payment on the date that you have requested we will make the payment as soon as possible. Where the fixed amount exceeds dividends and interest received during the period sales may be made from your investments.

9 This account will be used for all regular and ad hoc payments out of your investments and for any regular contributions to your investments. We must have verification of your bank account on file before withdrawal can commence. We may contact you for more information if this is not provided. This may delay your first payment.

6. Regular withdrawal

Would you like to take a regular withdrawal from your investments? 8

Investment	Fixed amount	Frequency	Start date (dd/mm/yy)
	£	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half yearly <input type="checkbox"/> Annually	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	£	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half yearly <input type="checkbox"/> Annually	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	£	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half yearly <input type="checkbox"/> Annually	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	£	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half yearly <input type="checkbox"/> Annually	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

7. Nominated bank account and evidence of bank account

Which account would you like to nominate for payments in and out of your investments? 9

Account name

Account number

Bank/building society name

Sort code

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Reference/Building society roll number

Evidence of bank account provided

☐ Original postal bank statement dated within 3 months attached

8. Execution only mandate

I/We have not sought advice because ¹⁰

- Where the above instruction relates to an investment into a Close Brothers fund(s), you confirm that you have read and understood the Key Investor Information Documentation (KIID) provided on our website closebrothersam.com/funds
- Where the above instruction relates to an investment into a third party fund, you acknowledge that Close Brothers will be required to provide you with the appropriate key investor information documentation before this transaction can be processed
- Close Brothers will endeavour to provide the required documentation electronically upon receipt of this form, however, should you choose to request this is sent via the post you are aware that this may cause additional delays in processing your instruction
- Close Brothers has given no advice as to the suitability of this product/investment for your needs. By reading and accepting the information and declaration below you confirm that you are solely responsible for your investment decisions, for the suitability of the product you have selected and that you understand the risks to your capital that are involved. If you are unsure about the suitability of the product/investment for your needs, or if you are in any doubt about anything else regarding investment, we recommend you seek professional financial advice

9. APS Eligibility Declaration and Signature ¹¹

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 (the investor) declare that the information is correct to the best of my knowledge and belief. I am applying to subscribe to the APS Allowance ISA and further declare that;

- I am the surviving spouse / civil partner of the deceased
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down)
- the subscription is made under the provisions of regulation 5DDA of the ISA regulations (additional permitted subscription)
- the subscription is being made
 - in the case of 'in specie' subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, which ever is the later), and
 - in the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).
- I am 18 years of age or over;
- All subscriptions made, and to be made, belong to me.
- 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. I will inform Close Asset Management Limited ¹² if I cease to be so resident or to perform such duties.
- I understand that where I am transferring a Cash ISA, it will be transferred into a Stocks and Shares ISA.

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

- the information given is correct to the best of my knowledge and belief;

¹⁰ Please state the precise reason, for example, "I/we feel sufficiently confident in my/our knowledge of this type of investment to make my/our own decision".

¹¹ This section must be completed to confirm the investor named on this application is eligible to make an additional permitted subscription to an ISA in respect of the deceased named on this application.

¹² Close Asset Management Limited (CAML) is the principal operating company of Close Brothers Asset Management.

- 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.

Signature – Applicant

Print name (BLOCK CAPITALS)

Date of signature

D

D

/

M

M

/

Y

Y

Y

Y

Please scan and email this form to us from your
registered email address:
directinvestment@closebrothersam.com
Alternatively, please post this form to our freepost address:
‘Freepost CBAM Online Investor Support’
Or, if signing electronically via DocuSign then click ‘Finish’ to submit