T. Bailey Funds

2018 / 2019

Junior Stocks & Shares ISA Investment Application Form

(Includes JISA & CTF Transfer Form)

This application form is for investors who do not already have an existing JISA investment in the T. Bailey Funds. Should you wish to make top up contributions to an existing JISA investment please use the Junior Stocks & Shares ISA Investment - Lump Sum Top Up Form found on our website at www.tbaileyfs.co.uk.

Before completing this application form, you must read the relevant Key Investor Information Document which contains important information about your investment. You should also read the Supplementary Information Document, which contains the ISA terms and conditions.

This application form is for the current tax year and each subsequent year until further notice. Should you wish to make future lump sum contributions you can do so using the Junior Stocks & Shares ISA Investment—Top Up Form found on our website www.tbaileyfs.co.uk. A new full Junior Stocks & Shares ISA Investment Application Form will only be required if there is an entire tax year in which you do not make a subscription and you subsequently want to invest.

All relevant documentation, including the full prospectus, can be obtained from T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ, at: www.tbaileyfs.co.uk or by calling the Client Services helpline on 0115 988 8213. (Calls are recorded).

Please complete the application form in blue or black ink and in BLOCK CAPITAL letters. Failure to correctly complete relevant sections of the application form may delay or invalidate your application.

The completed application form should be returned to: Dealing & Administration, T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ.

T. Bailey Fund Services Limited ('TBFS') is authorised and regulated by the Financial Conduct Authority (FCA) and is a HM Revenue & Customs ('HMRC') approved Stocks & Shares ISA Manager.

Section 1A: Personal details of Applicant/Registered Contact

Please complete the personal details in full. Note that Junior Stocks and Shares ISA investments can only be applied for by individuals over 16 years of age.

- Where the applicant is a child over the age of 16 (but under the age of 18) applying in their own name please complete all of sections 1A & 1C.
- If the child is under 16 years of age, only a person with parental responsibilities can be the applicant/registered contact - in this instance the applicant should put their details in section 1A and the child's details in section 1C.
- Please complete section 1B for any additional individuals (not the registered contact or child) making contributions to this investment.

Please note the applicant is the person who will be the first registered contact on the account, and their residential address will be used for all correspondence purposes.

Title | First name(s) | Surname

Permanent residential address

Postcode

Email address

Telephone number

Date of Birth (DD/MM/YYYY) / /

Section 1B: Personal details for contributor (if different to applicant)

Title | First name(s) | Surname

Permanent residential address

Postcode

Telephone number

Date of Birth (DD/MM/YYYY) / /

Section 1C: Personal details for child (used for JISA reporting to HMRC)

Please complete the personal details in full. Note that Junior Stocks and Shares ISA investments are only available for children under 18 years of age.

Please note that the child will be the beneficial owner of the investments held in the JISA. The amount subscribed is a gift to the child and as such cannot be paid to the subscriber if at a later date the subscriber changes their mind.

Title | First name(s) | Surname

Permanent residential address

Postcode

Date of Birth (DD/MM/YYYY) / /

NI No. to be provided if the child is over 16 and has been issued a NI Number. Failure to provide a NI No. could invalidate this application

National Insurance Number - -

IMPORTANT INVESTOR INFORMATION

Data Protection Policy

To provide our services to you, TBFS is required to collect personal information (i.e. information such as your name, date of birth, address, bank details or other such data which may be used to identify you). When we do so we are subject to data protection laws applicable in the United Kingdom and we are responsible as 'controller' of that personal information for the purposes of those laws.

We take your privacy very seriously and will only share your personal information with trusted third parties that are themselves subject to appropriate measures to protect your personal information. You are encouraged to read carefully our Privacy Policy which contains details and important information on who we are and how and why we collect, store, use and share your personal information. This policy also explains your rights in relation to your Personal Information and how to contact us or supervisory authorities in the event you have a complaint.

Our Privacy Policy can be obtained from www.tbaileyfs.co.uk/privacy-policy or, to request a copy, you can write to us at T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ or call us on the Client Services helpline: 0115 988 8213. (Calls are recorded).

Identification Verification

Applications will be subject to the United Kingdom's verification of identity requirements which are contained in the Money Laundering Regulations (and subsequent revisions), the Serious Organised Crime and Police Act 2005, the Proceeds of Crime Act 2002, the Terrorism Act 2000, the HM Treasury Sanctions Notices and the FCA Handbook. To comply with these regulations, we may need to request additional evidence of identity from you. We may use a credit reference agency who will record that an enquiry has been made. **We reserve the right to refrain from investing your money and to withhold any repayment of capital and / or income until adequate evidence of identity under these regulations has been provided.**

Do you have a Financial Adviser? (tick one) Yes (go to section 2) ☐ No (go to section 4) ☐

Section 2: Financial Adviser Details — to be completed by a Financial Adviser (if applicable)

Please see TBFS's Intermediary Terms of Business at www.tbaileyfs.co.uk. Intermediaries who conduct business with TBFS are deemed to have accepted these terms

Business Name

FCA Reference No. TBFS Agency Number (if applicable)

Financial Adviser Stamp (including address & postcode)

Consultant's Name

Email address

Telephone number

Bank account details for adviser charge payments:

If bank details are not provided this could delay payment of any adviser charges

Name of Bank or Building Society Sort Code - -

Name(s) of Account Account No.

Building Society Roll No. (if applicable)

IBAN (only required where Sterling bank account is not UK based)

Swift (only required where Sterling bank account is not UK based)

Where a Financial Adviser is listed TBFS's default position is that advice has been given in regards to this application.

Tick here if no advice has been given ☐

Please be advised we must be informed at the point of each subsequent investment whether or not advice has been given.

Authorised Signatory of Financial Adviser Firm: X

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Existing Account	☐	DoB	☐	ID Verification	☐	Regular Saver Processing	☐
Full Declaration	☐	NINO	☐	Cheq (if applicable)	☐	Further Action Required	☐

Section 3: Financial Adviser Charges

Note to Financial Advisers

From 31 December 2012, ongoing commission cannot be paid to a UK Financial Adviser from a product where advice has been given to a UK retail client to invest in a product. For deals where advice has been given to a UK retail client, investment should therefore be made into classes which do not contain an element of commission built into the annual management charge (AMC). See the Supplementary Information Document for this fund range for a complete class list. Section 2 of this application form declares if no advice has been given. This application may be rejected if any sections are incomplete or inconsistent.

Note to Applicant: Please ensure that you have read, understood and signed the declaration below.

Initial Adviser Charges

By completing this section, you are instructing us to pay an amount deducted from your investment as outlined in Section 4 to the agent listed in Section 2 as an adviser charge. As a result of this, the net amount invested in your chosen fund will be reduced by the amount of the adviser charge. For example if you have invested £10,000 and you have elected to pay your adviser a 2% adviser charge from your initial investment, we will pay your adviser £200 and £9,800 will be invested into the fund.

Initial adviser charge payable to appointed Financial Adviser: %

Ongoing Adviser Charges - Please only complete this section if ongoing adviser charges are to be taken from the investment.

If this facility is not required, please move directly to section 4.

By completing this section, you are instructing us to pay an amount from your investment to the agent listed in Section 2 as an ongoing adviser charge. As a result of this, we will process a deal to sell the appropriate number of your shares at the end of each calendar month following your investment to raise an amount to finance the adviser charge.

Please note that facilitation of ongoing adviser charges is based on an investor's holding at the relevant month end and is calculated at class level. If you have a holding in a class at the month end, we will pay an ongoing adviser charge based on the value of your investment in that class on the last business day of the month. This will be facilitated by monthly redemptions of shares, with the proceeds being paid directly to your agent, provided there are sufficient shares in your account at the end of the period to redeem.

For example, if your holding was worth £100,000 at the end of the month and you had opted for facilitation of adviser charges of 0.6% per annum via monthly redemptions we would redeem units to the value of £50.00 in that month (£100,000*0.05%).

Ongoing adviser charge % per annum: %

Adviser Charging Declaration:

- I declare that I have agreed with the agent listed in Section 2 that I will pay the agent the initial adviser charge stated in this section and I instruct you to pay such a charge to the agent listed as an initial adviser charge for services provided. I acknowledge that this will reduce the amount of my initial investment.
- I declare that I have agreed with the agent listed in Section 2 that I will pay the agent the ongoing adviser charge as stated in this section and I instruct you to sell the appropriate number of shares from my account at the end of each calendar month in order to pay such ongoing adviser charges. I acknowledge that this will reduce the value of my investment. I confirm that the proceeds of such sales will be paid directly to the agent listed in Section 2.

Applicant Signature X Date / /

Additional notes to Financial Advisers

Please note TBFS will not pay adviser charges if the declaration above has not been signed by the applicant. TBFS is also unable to pay any adviser charges retrospectively. It is therefore important that the applicant signs the declaration above in order for adviser charges to be paid.

Section 4: Investment Details

Please confirm the fund and class that you wish to invest in by completing the table below.

	Lump Sum Investment * Specify the cash value in this column	**JISA/CTF Transfer **** Specify approximate cash value in this column	**Monthly Regular Saver***** Specify the monthly cash value in this column
T. Bailey Growth Fund (A Accumulation)	£	£	£
T. Bailey Dynamic Fund (A Accumulation)	£	£	£
	£	£	£
Adviser Charging Share Classes			
T. Bailey Growth Fund (X Accumulation)	£	£	£
T. Bailey Dynamic Fund (X Accumulation)	£	£	£

Your total JISA investment for the current tax year must not exceed the lump sum subscription limit of £4,260

*Minimum initial lump sum investment £1,000. Minimum subsequent investment (e.g. top up) £500.

**For JISA transfers please also complete the JISA Transfer Instruction form included in this application pack.

*** Minimum monthly regular savings £50 per month - If you would like to invest using the monthly savings facility, please complete the Direct Debit mandate on the last page of this application pack.

Note to Financial Advisers: 'A' classes listed above do not contain an element of ongoing adviser commission in the annual management charge. If advice has not been given (or has been given to a non-UK client) and the investment is to be made into a commission paying class, please use the blank rows to list the fund and class required or use the adviser only share classes listed above. Please also give clear instructions of any initial/ongoing commission % payable and ensure sections 2 & 3 of this application form are fully completed.

Section 5: Payment method

Please tick and confirm your payment method:

☐ **Electronic Payment**
Please note that TBFS is unable to make a collection from your account and you must instruct your bank to transfer payment to us

Please send electronic payments with the child's name as the payment reference to the following account;
Account Name: T. Bailey Client Money Account Account Number: 61101613 Sort Code: 60-80-09

☐ **Cheque Payment**
Please include a correctly completed cheque with your application form as failure to do so may delay or invalidate your investment.

Please also note that cheques:

- should be made payable to **T. BAILEY FUND SERVICES LIMITED**
- should either be drawn on a bank account held in the name of the applicant or contributor, or from a building society with the applicant's name clearly displayed on the face of the cheque; and,
- should not be post-dated

☐ **Direct Debit (for regular savings only)**
Please complete the mandate on the last page of this application form.

☐ **Transfer balance from existing TBFS account**
Please confirm the account number you are transferring from.
Please note that if a transfer is instructed from a joint holding, a separate letter must be included with this application form, signed by all holders, giving authority for the transfer to the applicant.

☐ **Transfer JISA or CTF from another JISA/CTF Manager**
Please complete the JISA / CTF transfer form included in this application form

Section 5: Declarations — To be completed by the applicant/registered contact listed in section 1A.

Please read this section carefully before signing and dating the declaration and ensure that the total amount you wish to subscribe is within the ISA regulations, as detailed below and in our ISA terms and conditions and supplementary JISA terms and conditions attached to the Supplementary Information Document. This is our standard declaration upon which we intend to rely. For your own benefit and protection you should read these terms along with the contents of the Supplementary Information Document including ISA terms and conditions and the relevant Key Investor Information Document carefully before signing. More detailed information can be found in the T. Bailey Funds Prospectus. Copies of these documents can be obtained from www.tbaileyfs.co.uk or by contacting TBFS. If you do not understand any point please ask your Financial Adviser or TBFS for further information. Please note that TBFS is not authorised to provide financial advice to private individuals. **Failure to sign will mean your application form cannot be processed**.

I declare that:

- The information contained in this application form, the appendices and any additional pages completed by me is correct to the best of my knowledge and belief and I undertake to notify TBFS without delay of any changes to these particulars.
- I confirm that I have read and understood in full the information contained in this application form and the relevant Key Investor Information Document, the Supplementary Information Document and ISA Terms and Conditions and Supplementary JISA Terms and Conditions (and have kept a copy of these for my records), and that these documents constitute the agreement between me and TBFS.
- I agree to be bound by the terms and conditions contained therein.
- I request TBFS to act in accordance with my instructions. I understand that this application is subject to acceptance by TBFS and that TBFS accepts no responsibility for any loss incurred as a result of any delay in the submission of the application form.
- I agree to indemnify TBFS and its delegates and/or agents including the administrator for any loss arising to TBFS and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction on the happening of a Chargeable Event (as defined in the Prospectus). This indemnity applies notwithstanding anything to the contrary in this application form or the current Prospectus, unless otherwise agreed by TBFS in writing.
- I agree to provide any information as may be requested by TBFS to enable the relevant fund to satisfy any legal, regulatory or tax obligations.

- I am 16 years of age or over.
- I am the child / I have parental responsibility for the child listed in section 1C. (Delete which does not apply).
- The above named child does not have a Child Trust Fund account (unless these funds are being transferred from a CTF as part of this application).
- I apply to subscribe for a stocks and shares Junior ISA for the child listed in section 1C, for the 2018/2019 tax year and each subsequent year until further notice.
- The named child is resident in the United Kingdom for tax purposes or is a UK Crown Servant, is a dependant of a UK Crown Servant, or is married to/in a civil partnership with a UK Crown Servant.
- I will inform TBFS if the child ceases to be so resident and ordinarily resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties.
- I have not subscribed and will not subscribe to another JISA of this type for this child (unless these funds are being transferred as part of this application).
- I understand that this JISA is a stocks and shares JISA and the subscription limit applies to the aggregate investment in the cash and stocks and shares component.
- I understand that I (the applicant) will be the registered contact for this JISA account.
- l am not aware this child has another JISA of this type.
- I will not knowingly make subscriptions for the child listed in 1C to other JISAs, or to this JISA, that will exceed the annual subscription limit.

I hereby authorise TBFS:

- To hold the child's subscriptions, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash; and
- To make on the child's behalf any claims to relief from tax in respect of JISA investments.

Applicant Signature X _____ Date / /

This section has been left intentionally blank.

Please move to the next page to continue with your application.

JISA & Child Trust Fund (CTF) Transfer Instruction Form

Please note that if you want to transfer a JISA or CTF from more than one manager, you must complete a separate instruction for each one by reprinting this page of the application form.

Information for current JISA or CTF Managers
Please send a cheque, payable to T. Bailey Fund Services Limited, along with a full history of the JISA or CTF being transferred plus the date of the transfer to Dealing and Administration, T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham NG1 6FJ. Please note that T. Bailey Fund Services Limited's HMRC manager reference is Z1520. Any income or tax credits accruing in excess of £25 after you have sent these proceeds should also be sent to the same address.

Name of current JISA or CTF Manager

Address of current JISA or CTF Manager

Postcode

Full name of CHILD, including title

Permanent Residential Address of CHILD

Postcode

Account Number or Unique CTF Reference Number

Child's Date of Birth (DD/MM/YYYY) / /

National Insurance Number (if child over 16 years of age) - -

I wish to transfer the child's ENTIRE (tick as appropriate)

		Approximate Value
Stocks & Shares JISA holding		£
Cash JISA holding		£
Child Trust Fund (CTF) holding		£

NI No. to be provided if the child is over 16 and has been issued a NI Number. Failure to provide a NI No. could invalidate this application

Cash JISA investments to be transferred in part (Previous tax years only)

Please check with your existing JISA Manager that they can accommodate partial transfers of Cash JISAs. CTFs and Stocks & Shares. JISAs must always be transferred in full.

Please transfer specific tax years detailed below:

Specific Tax Year

Enter tax year (e.g. 2011/12)	Approximate Value
/	£
/	£
/	£
/	£

I hereby instruct my current JISA/CTF manager named above, to liquidate these assets within my JISA/CTF as detailed above, with immediate effect, and to transfer the proceeds to T. Bailey Fund Services Limited, 64 St. James's Street, Nottingham, NG1 6FJ

Full name of Applicant (REGISTERED CONTACT), including title

Permanent Residential Address of Applicant (REGISTERED CONTACT)

Postcode

Authorised Signature of Applicant (REGISTERED CONTACT)

X

Date

/ /

This page has been left intentionally blank.

Please move to the next page for Direct Debit mandate if required.

T. Bailey Fund Services Limited

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

Please fill in the whole form using a ball point pen and send it to:

T. Bailey Fund Services Ltd
64-66 St. James's Street
Nottingham
NG1 6FJ

Name(s) of account holder(s)

Bank/building society account number

Branch sort code

Name and full postal address of your bank or building society

To: The Manager — Bank/building society

Address

Postcode

Service user number

6	8	3	0	8	7

Reference

Instruction to your bank or building society

Please pay T. Bailey Fund Services 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 T. Bailey Fund Services Limited and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date

Banks and building societies may not accept Direct Debit Instructions for some types of account

DDI2

This guarantee should be detached and retained by the payer.

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 T. Bailey Fund Services Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request T. Bailey Fund Services 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 T. Bailey Fund Services 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 T. Bailey Fund Services 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.