

T. Bailey Funds

Stocks & Shares ISA Investments — Lump Sum Top Up Form

This application form is for existing investors who already have an ISA account in the T. Bailey Funds and who have already made subscriptions in this tax year/the previous tax year. If you do not already have an ISA account or have not made subscriptions in this tax year/previous tax year, please use the Stocks & Shares ISA Investments & Transfers Application Form found on our website at www.tbaileyfs.co.uk.

Should you wish to transfer ISAs from another Manager, or set up a new Direct Debit for a regular saver investment, please also use the Stocks & Shares ISA Investments & Transfers Application Form.

Before completing this top up 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.

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 1: Personal details

Please complete the personal details in full. Please note that Stocks & Shares ISA investments are only available to individuals over 18 years of age who are UK residents or Crown employees serving overseas or spouses (see section 6).

Existing Account Number			
Title		First name(s)	
		Surname	
		Date of Birth (DD/MM/YYYY)	/ /
		National Insurance Number	- -
		(NI No. can be found on P60, tax return, notice of coding or pension book). Failure to provide a NI No. will invalidate your application.	

Section 2: Investment Details - Please see the HMRC website for annual ISA subscription limits

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	
T. Bailey Growth Fund (A Accumulation)	£
T. Bailey Dynamic Fund (A Accumulation)	£
T. Bailey Dynamic Fund (A Income)	£
	£

Adviser Charging Share Classes

T. Bailey Growth Fund (X Accumulation)	£
T. Bailey Dynamic Fund (X Accumulation)	£
T. Bailey Dynamic Fund (X Income)	£

Your total ISA investment for the current tax year must not exceed the lump sum subscription limit of £20,000

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

If you would like to invest using the monthly savings facility, please complete the Stocks & Shares ISA Investments & Transfers Application Form.

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 4 & 5 of this application form are fully completed.

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.**

Section 3: Payment method

Please tick and confirm your payment method:

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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 your 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 from a building society with the applicant's name clearly displayed on the face of the cheque; and,
- should not be post-dated

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Transfer balance from existing TBFS Non-ISA holding

Please confirm your Non-ISA account number you are transferring from

Please note that if a transfer is instructed from a joint holding, you must be one of the registered holders on the account, and a separate letter must be included with this application form, signed by all holders, giving authority for the transfer to the applicant.

This section has been left intentionally blank.

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

FOR OFFICE USE ONLY

Existing Account

☐ DoB

☐ ID Verification

Full Declaration

☐ NINO

☐ Cheq (if applicable)

☐

Further Action Required

☐

ISA(TOP)vr2.2

Section 4: Financial Adviser Details

If a Financial Adviser was listed on your original ISA application form, this will also be applied to top up investments. **TBFS's default position is that advice has been given in regards to this application unless we are instructed otherwise.**

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.

Section 5: Financial Adviser Charges

Note to Financial Advisers

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

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. This section 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 from your initial investment as outlined in Section 2 to the agent listed on your account 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 6.

By completing this section, you are instructing us to pay an amount from your investment to the agent listed in your original application 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 ($£100,000 \times 0.05\%$).

Ongoing adviser charge % per annum: %

Adviser Charging Declaration:

- I declare that I have agreed with the agent listed on my account 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 on my account 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 on my account.

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 6: Declarations

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 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 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 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 18 years of age or over;
- All subscriptions made, and to be made, belong to me;
- I apply to subscribe for a stocks and shares ISA for the 2019/2020 tax year for the amount as detailed in Section 2, or if the amount shown in Section 2 is more than the limit allowed under HM Revenue & Customs regulations, I subscribe for the maximum allowed under such regulations with any remainder part of my application being treated as an application form to invest in an Unit Trust/Unit Trust outside of an ISA tax wrapper.
- 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 the Income Tax (Earnings and 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 TBFS if I cease 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/made a payment to and will not subscribe/make a payment more than the overall subscription limit in total to any combination of permitted ISA types 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.
- I understand that the TBFS ISA is a stocks and shares ISA and the annual subscription limit applies to the aggregate investment in the cash and stocks and shares component.

I hereby authorise TBFS:

- To hold my cash subscription/payment, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and other cash, and, to make on my behalf any claims to relief from tax in respect of ISA investments.
- On my written request 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.

Applicant Signature

X

Date

/ /