

This application form is for existing investors who already have an JISA 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 a JISA account or have made subscriptions in this tax year/previous tax year, please use the Junior Stocks & Shares ISA Investment Application Form found on our website at www.tbaileyfs.co.uk.

Should you wish to transfer JISAs or a CTF from another Manager, or set up a new Direct Debit for a regular saver investment, please also use the Junior Stocks & Shares ISA Investment 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, along with correct payment 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.

Existing Account Number	<input type="text"/>		
Title	<input type="text"/>	First name(s)	<input type="text"/>
		Surname	<input type="text"/>
		Date of Birth (DD/MM/YYYY)	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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

Title	<input type="text"/>	First name (s)	<input type="text"/>	Surname	<input type="text"/>
Permanent residential address					
<input type="text"/>			Daytime telephone number <input type="text"/>		
<input type="text"/>			Date of Birth (DD/MM/YYYY) <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<input type="text"/>			Postcode		

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	<input type="text"/>	First name(s)	<input type="text"/>	Surname	<input type="text"/>
				Date of Birth (DD/MM/YYYY)	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
NI No. to be provided is the child is over 16 and has been issue a NI Number					
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"/> - <input type="text"/>					

FOR OFFICE USE ONLY

Existing Account	<input type="checkbox"/>	DoB	<input type="checkbox"/>	ID Verification	<input type="checkbox"/>
Full Declaration	<input type="checkbox"/>	NINO	<input type="checkbox"/>	Cheq (if applicable)	<input type="checkbox"/>
				Further Action Required	<input type="checkbox"/>

Section 2: Investment Details — Please see the HMRC website for annual JISA 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)	£ <input type="text"/>
T. Bailey Dynamic Fund (S Accumulation)	£ <input type="text"/>
T. Bailey Dynamic Fund (S Income)	£ <input type="text"/>
T. Bailey Multi-Asset Growth Fund (S Accumulation)	£ <input type="text"/>
T. Bailey Multi-Asset Growth Fund (S Income)	£ <input type="text"/>
T. Bailey UK Responsibly Invested Equity Fund (S Accumulation)	£ <input type="text"/>
<input type="text"/>	£ <input type="text"/>
<input type="text"/>	£ <input type="text"/>

Your total JISA investment for the current tax year must not exceed the maximum overall subscription limit.

*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 Junior Stocks & Shares ISA Investment Application Form.

Note to Financial Advisers: The unit classes listed above do not contain an element of ongoing adviser commission in the annual management charge. If applicable, please 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

Electronic Payment

Please note TBFS are 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

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.

Please tick and confirm your payment method:

Section 4: Financial Adviser Details

If a Financial Adviser was listed on your original JISA 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.tbaileys.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 the 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 5: Declarations — To be completed by the applicant 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 2021/2022 tax year.
- The above 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.
- I 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

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