

Application Form

CFP Sanford DeLand Funds ICVC

Stocks and Shares ISA / JISA applicants

This form can be used to:

- ✓ Open a new ConBrio Individual Savings Account (ISA)
- ✓ Open a new ConBrio Junior Individual Savings Account (JISA)
- ✓ Transfer your existing ISA(s) into a ConBrio ISA
- ✓ Transfer your existing JISA(s) into a ConBrio JISA

This form cannot be used to:

- ✗ Make an additional subscription into an existing ISA / JISA (please refer to the Additional Subscription form)
- ✗ Withdraw funds from your existing ISA / JISA (please refer to the Withdrawal form)
- ✗ Switching your investments within your existing ISA/JISA (please refer to the Fund Switching form)

Please read before completing the application form

- Please state names in full.
- Please ensure you have arranged payment. Please note only the initial investment can be accepted pending satisfactory completion of identification and verification checks and no payments can be made until then.
- Please complete this form and return it to your financial adviser, or to the address below:
ConBrio – Sanford DeLand Asset Management Ltd
PO Box 12918
Chelmsford, CM99 2FU
- Where “I” is used in this Application Form, it refers to the signatory, and the Declaration is made by the signatory on behalf of the account holder.
- 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 3739 (Sanford DeLand) or emailing ConBrioEnquiries@uk.dstsystems.com
- Please ensure you have read the ConBrio Terms & Conditions.
(www.conbriofunds.com/terms-conditions)
- Please tick/complete this form, as applicable, using BLOCK CAPITALS and blue or black ink.
- **A separate application form must be completed for each ISA or JISA applicant. Joint applications are not permitted for ISAs or JISAs.**
- You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.
- For applicants over 16, **your National Insurance Number (NINO) and date of birth must be quoted.** Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book or at www.gov.uk/find-national-insurance-number.
- If you do not have a National Insurance Number, please tick this box. ☐
- You must have a NINO to apply for an ISA unless you are not eligible for one. You can check if you're eligible and apply online at www.gov.uk/apply-national-insurance-number.
- Are you eligible for a NINO? Yes ☐ No ☐
- If Yes, you must apply for a NINO and provide it before you complete your ISA application.

If you would like to transfer an existing ISA/JISA into a ConBrio ISA/JISA, please complete the transfer section at the end of this form.

Name of holder (ISA Applicant or JISA Child Applicant's parent/guardian)

Title

Surname

Forename(s)

D.O.B.

Permanent residential address

Address

Postcode

Email

Telephone

Mobile

**Nationality(ies)/ Country(ies) of
tax residence****Tax Identification Number(s)
(TIN)*****TIN Type(s)**

Occupation**

*For UK investors this is your National Insurance (NI) number

**If retired, please state your main occupation during your working life

Child Details (JISA Applicants only)

Title

Surname

Forename(s)

D.O.B.

Permanent residential address

Address

Postcode

Email

Telephone

Mobile

**Nationality(ies)/ Country(ies) of
tax residence**

**Tax Identification Number(s)
(TIN)***

TIN Type(s)

*For UK investors this is your National Insurance (NI) number

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:

Ultimate Beneficial Owner Information

The ultimate beneficial owner of the shares is the person who has the economic benefit of the shares.

In case of a change in ultimate beneficial owner, the investor commits to inform the Registrar and Transfer Agent of the new beneficial owner(s) and in case of any changes to the information provided in this section or any errors or omissions supported by documentary evidence, the investor commits to inform the Registrar and Transfer Agent without any delays and no later than within five business days.

☐

I/We am/are the ultimate beneficial owner of the Shares
(Please proceed to section titled 'Source of Wealth' page 5)

☐

I/We am/are **not** the ultimate beneficial owner of the Shares
(Please complete 'Information on ultimate beneficial owner' below)

Information on ultimate beneficial owner

Title

Surname

Forename(s)

D.O.B.

Place of Birth

Nationality(ies)/ Country(ies) of tax residence	Tax Identification Number(s) (TIN)*	TIN Type(s)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

*For UK investors this is your National Insurance (NI) number

Occupation**

**If retired, please state your main occupation during your working life

Permanent residential address:

Address

Postcode

Source of wealth

Economic source of wealth

I/We confirm that investments into the CFP Sanford DeLand Fund(s):

- a) Are made on my/our own behalf,
- b) Are not of criminal origin, and in particular do not constitute the proceeds of money laundering;
- c) Originate from the following source (please tick the appropriate box).

☐ Savings ☐ Inheritance ☐ Sale of real estate ☐ Redemption from other investment

☐ Salary ☐ Pension ☐ Gift ☐ Lottery

☐ Other (please provide detail)

Geographical source of wealth

Please detail the country of source of the funds invested below:

Expected trading volumes and frequency

Please complete the below section with your expectations in terms of investment in the Fund(s).

The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.

Expected frequency of trading

Please tick the anticipated frequency

☐ Single Transaction ☐ Monthly ☐ Annually

☐ Other (please provide detail)

Expected investment amount(s)

Please detail amounts by transaction below:

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*. The minimum investment amount is waived for investors who set up monthly contribution through direct debit.

I am applying to subscribe to a ConBrio Stocks and Shares ISA / JISA for up to the maximum subscription for the tax year 20 / 20 and each subsequent year until further notice.

There is no maximum ISA / JISA transfer (Please complete the ISA / JISA transfer section on page 14)

Fund	Lump Sum	Monthly	ISA/ JISA Transfer
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			%
Total	£	£	100%

*Monthly contributions must be rounded in £10 amounts (from a base of £50). If you have chosen monthly contributions, please complete the direct debit instruction at the end of this form. 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.

Payment Method

☐

Cheque enclosed payable to ConBrio Fund Partners Limited

☐

Electronic transfer to ConBrio Fund Partners Limited
(Please make your payment using your surname as the reference.)

Account Name: ConBrio FP Ltd Dealing

Dealing Sort: 16-50-50

Account Number: 84328056

Address: Bank of America,
5 Canada Square,
London,
E14 5AQ

☐

Direct Debit, for regular monthly savings (Please complete Direct Debit)

Income withdrawal by share encashment (ISA only)

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 8. 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
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	

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 below)

☐

Income reinvested to purchase more shares

Bank/Building Society details for redemptions and income distributions

Please complete your account details below so 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, 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:

Address Line 1:

Address Line 2:

Address Line 3:

Postcode:

Name of Account to be:

Sort Code:

Account No:

Building Society reference or
roll number:

Adviser/Agent Details

Financial advisers/agents, please complete the following section

As adviser/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:

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

By providing an email address, I consent to receiving documents relating to my account and the Fund(s) via email and will notify the Administrator if that email address changes. I acknowledge that I may (or my intermediary may) request a hard copy of such documents and/or revoke, in writing, this consent to receiving information electronically.

ISA Applicants:

I declare that:

- I am aged 18 or over.
- 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 am married to, or in civil partnership with a person who performs such duties, and will inform ConBrio Fund Partners Limited if I cease to be so resident, or to perform such duties, or be married to, or in a civil partnership with a person who performs such duties.
- I declare that I wish to purchase shares in the above Fund at the price prevailing at the first valuation following receipt of this Application Form, in accordance with my/our instructions on this Application Form.
- All subscriptions made, and to be made, to the ISA belong to me and I am the beneficial owner of the funds being used for this ISA. I agree to be bound by the Terms and Conditions applicable to the ISA and give the warranties contained therein.
- The information given in this Application Form/Transfer Form is true and correct to the best of my knowledge and belief. I will notify ConBrio Fund Partners Limited without delay of any change in the information given.
- I understand that the transfer of my ISA may be delayed if this Transfer Form is not complete in all respects.
- I have not subscribed and will not subscribe more than the overall subscription limit in total in the same tax year.
- I have not, and will not, subscribe to another Stocks and Shares ISA, an Innovative Finance ISA and a Lifetime ISA in the same tax year that I subscribe to this Stocks and Shares ISA.
- I have had the opportunity to ask questions relating to the information contained in this Application Form and the Terms and Conditions, and have had any such questions answered to my satisfaction prior to making this declaration. Accordingly, I have understood said information and agree to be bound by it. I acknowledge that the Terms and Conditions may be amended from time to time at ConBrio Fund Partners Limited's discretion.

- I hereby agree to reimburse ConBrio Fund Partners Limited and its delegates and/or agents including the Administrator for any loss arising to ConBrio Fund Partners Limited and/or its delegates and/or agents by reason of them becoming liable to account for tax in any jurisdiction if I have not provided the relevant or correct information to ConBrio Fund Partners Limited and/or the Administrator in this regard. This reimbursement applies notwithstanding anything to the contrary in this Application Form or the Terms and Conditions, unless otherwise agreed by ConBrio Fund Partners Limited in writing.
- I am aware that, in certain circumstances, ConBrio Fund Partners Limited will be obliged to share information with HMRC, who may pass it on to other tax authorities.
- I consent to ConBrio Fund Partners Limited transferring any Client Money (as defined in the Terms and Conditions) held by it to another person where the Client Money relates to any business being transferred, on the basis that the recipient holds such Client Money in accordance with the Client Money Rules (as defined in the Terms and Conditions).
- I agree to reimburse ConBrio Fund Partners Limited and the Administrator (as defined in the Prospectus) for any loss arising due to any delays in processing this dealing instruction if I have not provided required information.
- I declare that the latest Prospectus, KIID, Supplementary Information Document and Consumer-Facing Disclosure and Assessment of Value Statement (each as is defined in the Terms and Conditions) ("Fund Disclosures"), as applicable to the Fund(s) listed in this Application Form, have been provided or made available to me in good time prior to submitting this Application Form and that I have read and reviewed such documents and have had any questions answered to my satisfaction prior to making this declaration.
- I hereby acknowledge and agree that the latest Fund Disclosures for each class of share is available on Tutman's website at www.conbriofunds.com or on request by telephoning and that I will read and review the most up-to-date version of the relevant Fund Disclosures, prior to making any subsequent application for shares in a Fund.
- I agree that, if the Fund Disclosures are made available to me/us by means of ConBrio Fund Partners Limited's website, I have been given the option to receive the relevant document in paper copy and have chosen to receive it by means of ConBrio Fund Partners Limited's website instead.
- I am not a US Person or acquiring Shares for the account or benefit, directly or indirectly, of a US Person or with the assets of an ERISA Plan.
- I consent to my shares being compulsorily redeemed in accordance with the Prospectus if any statements made in relation to my account is not correct or becomes incorrect.
- I understand the investment objective(s) of the Fund(s) listed in this Application Form and I am satisfied that it meets my current financial objectives.

I authorise ConBrio Fund Partners Limited:

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

JISA Applicants:

I declare that:

- I am 16 years of age or over.
- I have parental responsibility for that child.
- I/the Child does not have a Child Trust Fund account.
- I will be the registered contact for the JISA.
- The Child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant.
- I have not subscribed and will not subscribe to another JISA of this type for this child.
- I am not aware that this child has another JISA of this type.
- I am not aware of other JISA subscriptions that will result in this child exceeding the annual limit.
- I have not and will not knowingly make, in any one tax year, subscriptions to JISAs managed by another JISA manager for this child that would result in the named child's aggregate subscriptions contravening the overall JISA limit applying in that tax year.
- Any subscriptions I make into the account are a gift to the Child and cannot be returned if I change my mind.
- The Child will assume full responsibility for the account on their 18th birthday.
- No withdrawals can be made from the account before the Child's 18th birthday.
- The Child is eligible, being born after 3 January 2011 or, being born before that date, does not hold a Child Trust Fund account.
- I agree to be bound by the Terms and Conditions applicable to the ISA and give the warranties contained therein.

I authorise ConBrio Fund Partners Limited:

- 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.

I elect:

- to attend any meetings of investors in companies, unit trusts, open-ended investment companies and other entities in which I have account investments; ☐
- to vote at such meetings; ☐
- to receive, in addition to the documents referred to above, any other information issued to investors in such companies, unit trusts, open-ended investment companies and other entities. ☐

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 personal information including sensitive personal data 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 by this company or other subsidiary companies in the Thesis UnitTrust Management Limited parent group. This data may be held for up to seven years after my investment ceases, in line with the Law.
- ConBrio Fund Partners Limited may transfer information to other companies in the Thesis Unit Trust Management Limited group of companies for any of the above purposes. Such third-party agents may be in countries located outside of the UK or 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 inside the UK or the EEA.
- Further information about how ConBrio Fund Partners Limited may use data is available in the 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.
- I am entitled to request details of information ConBrio Fund Partners Limited may hold about me and to require ConBrio Fund Partners Limited to correct any inaccuracies in my personal data.

I enclose a cheque for the amount to be invested.

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

Signature(s)

All applicants must sign

Named Holder

Signature

Date

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Send the completed form to:

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

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 (If applicable)
- ☐ ISA/JISA Transfer (If applicable)



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:

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

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

Reference

Instruction to your Bank or Building Society

Please pay Thesis Unit Trust Management 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 Thesis Unit Trust Management 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

DDI 2 5/15

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 Thesis Unit Trust Management Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Thesis Unit Trust Management 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 Thesis Unit Trust Management 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 Thesis Unit Trust Management 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.

ISA/JISA Transfer

Complete this section if you wish to transfer your existing ISA(s)/JISA(s). If you need more instruction forms, please photocopy this sheet before completing.

Instruction to existing ISA/JISA Manager

Please transfer my existing ISA/JISA to ConBrio Fund Partners Limited as instructed below.

Please sell my entire holding **or** please sell of my holding. Estimated value

Name of existing Plan Manager:

Address of existing Plan Manager:

Address

Postcode

Account Name

Account No

Signature

Date

Note to existing Plan Manager: we confirm that we are willing to accept the transfer of cash only.

ConBrio is a trading name of ConBrio Fund Partners Limited (CFP) and a registered trade mark. CFP is authorised and regulated by the Financial Conduct Authority Number 229057. Registered in England and Wales Nos. 04605261. Registered Office: Exchange Building, St John's Street, Chichester, PO19 1UP. ConBrio is a subsidiary of Thesis Unit Trust Management Limited.

02/05/2025