



CASTERBRIDGE WEALTH
INVESTMENTS

Form 102W

Individual General Investment and Stocks and Shares ISA Application Form

Investment Management Platform

Please complete all sections electronically
or in BLOCK capitals using blue or black ink.

Client Name

Affiliated Firm Contact Details

Location Code

Responsibility Code

Investment Decision Maker Code

Affiliated Firm Contact

Raymond James Head Office Use Only

Account reference RK

RAYMOND JAMES

Casterbridge Wealth Limited, your Financial Intermediary, is authorised and regulated by the Financial Conduct Authority.

Raymond James Investment Services Limited is a company registered in England and Wales (Reg. No. 03779657). Our registered office is at Ropemaker Place, 25 Ropemaker Street, London EC2Y 9LY, which is also our principal place of business.

Pershing Securities Limited is a company registered in England and Wales (Reg. No. 02474912). Its registered office is at Royal Liver Building, Pier Head, Liverpool L3 1LL.

Both Raymond James Investment Services Limited and Pershing Securities Limited are members of the London Stock Exchange and are authorised and regulated by the Financial Conduct Authority which is located at 12 Endeavour Square, London E20 1JN.

INDIVIDUAL GENERAL INVESTMENT
AND STOCKS AND SHARES ISA APPLICATION FORM
INVESTMENT MANAGEMENT PLATFORM

Account Title

Personal Details

Account Owner

Relationship to account

Owner

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

Gender

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Primary contact telephone number

Email address

Countries of Tax Residency

state primary first

Tax Residency Identifier No.*

Are you a US Person? **

No

Yes

Countries of Citizenship

state primary first

Nationality

state primary first

National Identifier Type:

NINO/Passport/TIN/CONCAT

N

P

T

C

National Identifier No.***

Place of birth

Town

Country

Occupation

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

*** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rts/160728-rts-22-annex_en.pdf

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Attorney Details *if acting under power of attorney*

Attorney 1

Attorney 2

Attorney type

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

DD MM YYYY

Gender

Male

Female

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Primary contact telephone number

Email address

INDIVIDUAL GENERAL INVESTMENT
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General Investment Account

Dividends and Interest

Investment income will be paid into the dealing ledger as **default**.

However, if you would prefer your investment income to be paid into an income ledger please tick here:

If you have selected for an income ledger all investment income may either be retained, or paid out of your income ledger at a set frequency to the primary bank/building society account you have specified. Please choose your income preference below:

Income Ledger Preference

Paid on receipt	Paid monthly	Paid quarterly (March, June, Sept, Dec)
Paid half yearly (June, December)	Paid annually (December)	Retained on income ledger

Primary Bank/Building Society Account Details

Bank name	Sort code	00 - 00 - 00
Account name	Building Society	roll no <i>if applicable</i>
Account number	SWIFT	<i>if applicable</i>
Currency*: GBP, EUR, USD, other – <i>specify</i>	IBAN	<i>required for Euro payments</i>

Additional routing instructions *if applicable*
e.g. intermediary bank details

These bank details must be in the same name as the Account Owner. These will be the primary bank details on your Account. To add additional bank details, please contact your Financial Intermediary.

**Whilst it is possible to make ad hoc payments to a non-GBP bank account, it is not possible to set up regular payments in a currency other than GBP.*

Regular Withdrawal Requirements

Please specify your regular withdrawal requirement below:

Amount: £

Frequency: Monthly Half-yearly Quarterly Yearly

Start date: DD MM YYYY

All regular withdrawals will be established on your dealing ledger.

Important Note: *if there are insufficient funds to make a payment, no payment will be made.*

INDIVIDUAL GENERAL INVESTMENT AND STOCKS AND SHARES ISA APPLICATION FORM INVESTMENT MANAGEMENT PLATFORM

Stocks and Shares ISA

Please apply the same Dividend and Interest preference to my Stocks and Shares ISA as specified on page 5 for my General Investment Account

If you wish for a different Dividend and Interest preference for your Stock and Shares ISA please complete the below section.

Dividends and Interest

Investment income will be paid into the Stocks and Shares ISA dealing ledger as **default**.

However, if you would prefer your investment income to be paid into an income ledger please tick here:

If you have selected for an income ledger all investment income may either be retained, or paid out of your income ledger at a set frequency to the primary bank/building society account you have specified. Please choose your income preference below:

Income Ledger Preference

Paid on receipt	Paid monthly	Paid quarterly (March, June, Sept, Dec)
Paid half yearly (June, December)	Paid annually (December)	Retained on income ledger

Primary Bank/Building Society Account Details

Please apply the same Bank Details to my Stock and Shares ISA as specified on page 5 for my General Investment Account
If you wish for different Bank Details to be applied to your Stock and Shares ISA please complete the below section.

Bank name	Sort code	00 - 00 - 00
Account name	Building Society	roll no if applicable
Account number	SWIFT	if applicable
Currency*: GBP, EUR, USD, other – specify	IBAN	required for Euro payments

Additional routing instructions if applicable
e.g. intermediary bank details

These bank details must be in the same name as the Account Owner. These will be the primary bank details on your Account. To add additional bank details, please contact your Financial Intermediary.

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Subscription

If you would like to subscribe to your Stocks and Shares ISA via a bank transfer you may do so once your account has been established. Please speak with your Wealth Manager for further details. Alternatively, please confirm below if you are subscribing to your Stocks and Shares ISA with a cheque.

I enclose a cheque for £ _____ made payable to Pershing Securities Limited

Note: *all subscriptions must come from an account in your own name.*

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Reporting

Custody Statement

You will receive a periodic Custody Statement which contains a record of your holdings, held in nominee on your behalf by PSL. PSL sends this statement to you to meet its regulatory requirements as custodian of your assets.

Valuation Frequency

For Managed Discretionary Portfolios, valuations will be provided on a quarterly basis.

For Advisory Portfolio/Advisory Dealing/Execution Only Portfolios please select a frequency below:

Quarterly (March, June, September, December)

Half Yearly (June, December)

Yearly (December)

Valuation Reporting Currency

Valuations are reflected in GBP as **default**.

If you wish for your valuation to report in a different currency please specify the currency here:

Important note: once transactions have taken place on the account, the reporting currency cannot be changed.

Valuation Consolidation

Option 1

I would like a standalone valuation for this new account.

Valuation Title*

*Maximum of 32 characters

Option 2

I wish to consolidate this new account with another existing Raymond James Account:

Account Reference No. **RK**

Relationship to
Account

Account Name

Account Type

Important Note: The existing Raymond James Account will remain the Master Valuation account. If you require the valuation title to be updated (e.g. from Mr Smith to Mr & Mrs Smith) please detail the new valuation title below:

Valuation Title*

*Maximum of 32 characters

Option 3

I wish to consolidate this new account with another new Raymond James Account:

Account Name

Account Type

Relationship to account

Which of these accounts will be considered
the Master Valuation account?

Valuation Title*

*Maximum of 32 characters

Important Note: If this option is selected we must receive the relevant new account packs at the same time to facilitate the consolidation.

Contract Notes

Raymond James will generate a contract note confirming details of the trade(s) executed on your behalf.

If you would prefer for your Financial Intermediary to receive your contract notes on your behalf, please review the following declaration and confirm accordingly.

I/We understand:

- by ticking this box, I am/we are instructing Raymond James to send any contract notes to my/our Financial Intermediary, as named in the *Raymond James' Investment Management Platform Terms of Business*, who has agreed to receive these on my/our behalf;
- this means that I/we will not receive contract notes following the execution of any trades placed on my/our account; and
- should I/we require copies of these contract notes, these will be available from my/our Financial Intermediary upon request.

Contract notes will be dispatched to your correspondence address, via first class post. For securities trades, contract notes will be dispatched by the end of the business day after the trade has been executed. For fund trades, contract notes are produced following receipt of confirmation from the fund company.

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Client Access

Where you already have Client Access, this account along with any other new accounts will automatically be linked and viewable through your existing access.

Do you require access/continued access to view your accounts online? Yes No

By selecting yes, you are asking Raymond James to provide you with login details to your account(s) via the Raymond James Client Access Portal. Terms and Conditions of usage will be made available to you and will need to be accepted prior to you using this tool for the first time.

Important note: *If you have selected yes please ensure you have provided an email address in the personal details section.*

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Third Party Instructions

As the Account Owner I authorise:

- Raymond James to accept any and all instructions, as described in the 'Your Instructions' section in the *Raymond James Terms of Business*, from the undermentioned party. **Please tick where appropriate:**

Granted authority to make investment decisions	Client Access	Payment Instructions
Requests for copies of Valuations* and Contract Notes	Set Third Party to receive copies of Valuations	Set Third Party to receive copies of Contract Notes

*A charge will be incurred for additional copies of Valuations

Relationship to account

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

Gender

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Primary contact telephone number

Email address

By completing and signing this form, I:

- note that Raymond James may validate my personal identification and verify my address internally or through a third party external firm providing the services electronically to Raymond James; and
- note that Raymond James may obtain a report on me for anti-money laundering and fraud prevention purposes.

Authorised Third Party Signature

Full name *Please print*

Signature

Please sign here

Date

DD MM YYYY

Please note Raymond James reserves the right, in its absolute discretion, whether to deal with and accept instructions from the aforementioned third party.

INDIVIDUAL GENERAL INVESTMENT AND STOCKS AND SHARES ISA APPLICATION FORM

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Declaration

I apply:

- to subscribe to a Raymond James Stocks and Shares ISA, for the **20** / **20** tax year and each subsequent year until further notice.

I declare, I:

- have read this form and to the best of my knowledge and belief, the information I have provided is correct; and
- shall notify my Financial Intermediary immediately of any change to: i) the information in this *Application Form*; and/or ii) my personal circumstances.

I understand:

- all subscriptions made, and to be made, are from my own funds;
- I am 18 years of age or over;
- I have not subscribed and will not subscribe to another Stock and Shares ISA in the same tax year as I subscribe to this Stocks and Shares ISA;
- I have not subscribed to and will not subscribe more than the overall subscription limit in total to any combination of permitted ISA types in the same tax year; and
- I am a 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 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 Raymond James if I cease to be resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I authorise Raymond James:

- to hold my cash subscriptions, 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 from tax in respect of ISA investments; and
- on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends and any other rights or proceeds in respect of such investments or cash.

By completing and signing this Account Form, I:

- confirm I have been provided with *Raymond James' Investment Management Platform Terms of Business*, the *Raymond James' Investment Management Platform ISA Terms of Business* and the *Schedule of Fees and Charges* which I have had the opportunity to read;
- confirm I wish to enter into the Agreement with Raymond James and understand the Agreement consists of this *Application Form*, the *Raymond James' Investment Management Platform Terms of Business*, the *Raymond James' Investment Management Platform ISA Terms of Business*, the *Schedule of Fees and Charges* and the *Rates and Charges* document; and
- consent to Raymond James validating my personal identification and verifying my address internally or through a third party.

Account Owner

Full name *Please print*

Capacity

Account Owner

or state capacity in which you are acting

Signature



Date

DD MM YYYY

Financial Intermediary Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge; and
- agree to notify Raymond James immediately of any significant changes.

Full name *Please print*

Signature



Date

DD MM YYYY