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# CASH ISA TRANSFER AUTHORITY

TO STOCKS AND SHARES INDIVIDUAL SAVINGS ACCOUNTS

PROFIT WITH PRINCIPLES



## INSTRUCTION TO THE ISA HOLDER

Please complete all sections excluding pages 6 and 7 and return to:

**EdenTree Investment Management Limited, Sunderland SR43 4AU**

- (i) You must use a new ISA transfer authority form for each existing plan manager from whom you are transferring to an EdenTree Investment Management ISA
- (ii) You can only use this form to transfer a cash ISA to an EdenTree Investment Management Stocks and Shares ISA
- (iii) If you wish to transfer your stocks and shares ISA to an EdenTree Investment Management Stocks and Shares ISA you will need to contact us for an ISA stocks and shares transfer authority form, or visit our website [www.edentreeim.com](http://www.edentreeim.com) to download the form
- (iv) In addition to the cash ISA transfer authority form/s we require a completed EdenTree Investment Management ISA application form to be sent to: **EdenTree Investment Management Limited, Sunderland SR43 4AU**

Please note that we will arrange the transfer of your ISA directly with your existing ISA manager, who will require the details provided.

**Please do not send this form to your existing ISA manager.**

## INVESTMENT SPLIT

Please tell us how you would like your transfer monies to be split

Minimum lump sum investment £1,000 per fund

**Fund**

**Percentage**

EdenTree Responsible and Sustainable European Equity Fund	%
EdenTree Responsible and Sustainable Global Equity Fund	%
EdenTree Responsible and Sustainable Sterling Bond Fund	%
EdenTree Responsible and Sustainable UK Equity Fund	%
EdenTree Higher Income Fund	%
EdenTree Responsible and Sustainable UK Equity Opportunities Fund	%
<b>Total investment</b>	<b>100 %</b>

# CASH ISA TRANSFER AUTHORITY FORM

This is an application to transfer your existing cash ISA to the EdenTree Investment Management Stocks and Shares ISA. Please note EdenTree Investment Management does not offer a cash ISA. You must also complete an ISA application form in order to transfer your existing cash ISA to the EdenTree Investment Management Stocks and Shares ISA and return it to:

**EdenTree Investment Management Limited, Sunderland SR43 4AU**

## PERSONAL DETAILS

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

Permanent residential address

Postcode

Telephone

Email

National Insurance number

        

If you do not have a National Insurance number, tick here

You should be able to find your NI number in a payslip, or P45 or P60, a letter from HM Revenue & Customs, a letter from DW, or pension order book.

**I apply to transfer my existing cash ISA to the EdenTree Stocks and Shares ISA**

Existing Account Number

**It is important to note that under HM Revenue & Customs ISA Regulations, only whole transfers of current tax year subscriptions and interest can be accepted.**

Please specify how much of your cash ISA you want to transfer:

£

If only current year subscription plus interest is to be transferred, tick here

Or specify

£

Or

%

Or

all

From (old manager)

Postcode

To (new manager), **EdenTree Investment Management**

Postcode

## DECLARATION

- I agree to be bound by the Terms and Conditions, and the requirements of HM Revenue & Customs relating to ISA schemes. All subscriptions made, and to be made, belong to me.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties by which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to a person who performs such duties. I will inform EdenTree Investment Management if I cease to be so resident or to perform such duties or to be married to a person who performs such duties.
- I authorise EdenTree Investment Management and its agents to (i) hold my cash subscriptions, ISA investments, dividends, rights or other proceeds in respect of such investments and other cash (ii) make on my behalf any claims to relief from tax in respect of ISA investments and (iii) on my written request transfer or pay me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of any such investment.
- I declare that this application form has been completed to the best of my knowledge and belief.
- I agree to EdenTree Investment Management Ltd's ISA Terms & Conditions.
- I confirm that I have read and understood the EdenTree Investment Management Terms and Conditions, the Supplementary Information Document and the latest Key Investor Information Document(s) for the fund(s) and share class(es) in which I am investing.
- I have read and understood the Prospectus, and consent to the ACD applying the Delivery Versus Payment Exemption (as set out in the Prospectus) which means that FCA client money rules do not apply to subscription/redemption monies received/paid to settle transactions for the first day following receipt.
- I have read and understood the information relating to General Data Protection Regulations.

### Stocks and Shares ISA declaration

I declare that I have not subscribed to another cash ISA in the tax years to which this transfer relates.

I understand that if I am transferring this tax year's subscriptions they will still count to my overall ISA subscription limit as stocks and shares subscriptions. I am 18 years of age, or over. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA and an innovative finance ISA in the same tax year.

I authorise my existing ISA Manager (as specified overleaf) to transfer the ISA (account number overleaf) to EdenTree Investment Management Ltd. I authorise my existing ISA Manager to provide EdenTree Investment Management Ltd with any information, written or non-written, concerning the cash ISA and to accept any instructions from them relating to the cash ISA being transferred.

Where a period of notice is required for closure/part transfer of the existing ISA, I give my consent to either:  
(ISA investor tick as appropriate)

1. Serve the full notice period before this instruction can be processed;
- Or
2. Proceed immediately with the transfer and bearing any consequential penalty which may be applied

**Signature**

**Date**

## IMPORTANT INFORMATION

### General Data Protection Regulation

EdenTree Investment Management will always act responsibly with your personal data. By submitting your personal details you consent to us using this information in the ways described in our Privacy Policy.

Our privacy policy can be found at [www.edentreeim.com](http://www.edentreeim.com) or can be requested by writing to us at Sunderland SR43 4AU.

### Personal Data

EdenTree Investment Management Limited is data controller of any personal data you provide to us or which is processed in connection with the services we provide to you.

To provide our fund management services, we have collected and will use personal data such as your name, date of birth and contact details and any information which is relevant to the services we are providing.

The purposes for which we use your personal data are to maintain and service your EdenTree investment account, and to notify you about changes or developments to our products and services. We will also use your personal data in order to meet our legal or regulatory requirements, for example we have legal obligations to carry out anti-money laundering checks and to comply with our regulatory reporting requirements, we may need to send your personal data to our regulators.

Providing our services will involve disclosure to Northern Trust Global Services Limited who we have delegated administration of your investment account to and other third parties such as service providers of the funds, auditors, regulatory and tax authorities and technology providers to comply with any legal obligation imposed on the funds for the purposes described in our Privacy Policy available at [www.edentreeim.com](http://www.edentreeim.com).

When processing your personal information, there may also be times where Northern Trust will act as a data controller to meet its own regulatory reporting requirements. For instance, Northern Trust may combine your personal data with data it holds from other Fund Management Companies for the purpose of suspicious activity monitoring and reporting.

### Recipients of Data and International Transfer of Data

Depending on the circumstances, we may transfer your personal data to countries outside the European Economic Area that have less robust data protection laws. We will put appropriate safeguards in place to ensure that such transfers comply with data protection laws and that your personal data is protected.

### Retention period

We will retain your personal information for as long as required for us to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

### Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).
- Rights re automated decision making

Where EdenTree requires your personal information to comply with AML or other legal requirements, failure to provide this information means that EdenTree may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by EdenTree or its service providers infringes the General Data Protection Regulation.

### How to contact us

For further information on how we use your personal data and your rights in relation to your personal data, our Privacy Policy can be accessed at [www.edentreeim.com](http://www.edentreeim.com). Should you have any enquiries relating to the personal data that we may hold about you or how this is processed, you can contact, Data Protection Officer, at Benefact House, 2000, Pioneer Avenue, Gloucester Business Park, Brockworth, Gloucester, GL3 4AW, or on 0345 6073274 or email [compliance@edentreeim.com](mailto:compliance@edentreeim.com).

1. For certification requirements please refer to the main application form.

## **IMPORTANT INFORMATION (continued)**

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### **Electronic Verification**

The Manager is bound by law to abide by the money laundering legislation and to verify the identity of investors. This verification usually happens when an investment is made or shares are transferred. It may also be required at other times whilst the investment is held. Verification will also be required for any third party making payments. If you are investing through an adviser, part of their duty will be to provide us with verification of your identity. Verification of identity may be achieved through the use of a credit reference agency which may keep a record of this information; however, this is only to verify your identity and will not affect your credit record. In some circumstances the Manager may require independent evidence of your identity and permanent address. If the Manager does not receive acceptable evidence it reserves the right to delay or reject your application or withhold payment of the proceeds of redemption and income on shares until verification has been satisfactorily completed.

### **Documents for Verification of Identity**

If your financial adviser is not providing an Identity Verification Certificate (IVC), certified<sup>1</sup> photocopies of two identification documents must be sent; one to verify residency and one to verify identity. Appropriate documents to send include a valid Passport, Driving Licence, National Identity Card, Firearms Certificate or Shotgun Licence and Identity Card issued by the Electoral Office for Northern Ireland.

# CASH ISA TRANSFER HISTORY FORM

In circumstances where the funds to be transferred are not cash deposits, please notify EdenTree Investment Management Limited as we may not be able to accept the transfer.

## INSTRUCTION TO THE EXISTING ISA MANAGER

Please complete all sections below, ensuring that you give us the customer's full name, account number, date of birth and National Insurance number.

Once complete return this form to us together with the proceeds cheque made payable to "EdenTree Investment Management Limited" and send to: **EdenTree Investment Management Limited, Sunderland SR43 4AU**

## PERSONAL DETAILS

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

Permanent residential address

Postcode

Telephone

Email

National Insurance number

        

If you do not have a National Insurance number, tick here

You should be able to find your NI number in a payslip, or P45 or P60, a letter from HM Revenue & Customs, a letter from DW, or pension order book.

## ISA DETAILS

Account number (of old Manager)

Type of ISA  "A" Cash or "X" if only previous years' subscriptions are being transferred

Date of transfer

Amount transferred

## DECLARATION

I declare that:

- I have fulfilled all the obligations imposed on me by the ISA Regulations.
- I have transferred to you or your nominee any ISA investments that are being transferred by virtue of the transfer of this ISA and, if appropriate, I have taken the necessary steps to ensure that the ISA investments can be registered in your name or the name of your nominee.
- The information supplied with this notice is correct.

Signature

Date

For and on behalf of

Address

Postcode

Telephone

Email

For further information on  
any of our products, call  
us on

**0800 358 3010**

Monday to Friday 9am to 5pm.

We may monitor or record calls to improve our service.

You can email us at

**[investmentadmin@edentreeim.com](mailto:investmentadmin@edentreeim.com)**

Or visit us at

**[www.edentreeim.com](http://www.edentreeim.com)**

Support for financial advisers

Dealing and administration:

**0800 358 3010**

Sales support:

**0800 011 3821**

Or visit us at

**[www.edentreeim.com/literature](http://www.edentreeim.com/literature)**

