

# Additional Permitted Subscription (APS) Lump Sum Investments form

Stocks and Shares Individual Savings Account (ISA)

A decorative graphic in the bottom right corner consisting of three overlapping, curved shapes in shades of teal and green.

### Notes about the Additional Permitted Subscription (APS)

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When an ISA investor dies, his or her surviving spouse/civil partner is entitled to make an APS investment into an Individual Savings Account (ISA) over and above their annual ISA subscription limit. The APS allowance is either the value of the deceased's ISA at their date of death or the point the ISA ceased to be a continuing account of a deceased investor. Please see ISA T&C's for additional information.

- You may use this form to invest in the EdenTree Investment Management APS ISA.
- If the deceased's ISA was with another ISA manager, there are additional requirements: you may transfer the APS allowance from the other ISA manager to EdenTree Investment Management by completing the Transfer Authority form which is available separately. Please note that we cannot accept an APS investment until the APS allowance has been transferred to us.
- Where an investor dies on or after 6 April 2018, any ISA held will be designated a "continuing account of a deceased investor". A continuing account of a deceased investor is an ISA that continues to benefit from the tax advantages after the death of the investor. An ISA stops being a continuing account on the earlier of:
  - the completion of the administration of the deceased's estate
  - the ISA being closed
  - three years after the date of death.
- You have three years from the date of death of your spouse/civil partner (or 180 days after the administration of the estate is complete, if later) to invest up to the APS allowance, using one or more cash lump sums. Where the deceased died in the period from 3 December 2014 to 5 April 2015, the three-year period is deemed to be from 6 April 2015.
- Please note that once a subscription from an APS allowance has been made to EdenTree Investment Management, any future subscriptions must also be made to us.

# Additional Permitted Subscription (APS) Lump Sum Investments form

## Personal details

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Please complete all sections and return to:

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

Please note, if your financial adviser is not providing an Identity Verification Certificate (IVC), two identification documents must be sent: one to verify residency and one to verify identity.

This form should be used if you are a surviving spouse/civil partner and you wish to open an APS ISA up to the permitted APS allowance (the value of the ISAs belonging to your late spouse as at the date of death).

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

**Surname**

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**Forename(s)**

**Date of birth**

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**National Insurance number**

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

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**Permanent residential address**

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**Postcode**

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**Telephone**

**Email**

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**Existing ISA account number** (if applicable)

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If you have been resident at this address for less than two years, please provide details of your previous address.

**Previous residential address**

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**Postcode**

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## Account security (optional)

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Please provide your own personal security question, which will be used should you contact us by telephone for information on your account (for example 'What was your mother's maiden name?')

**Security question**

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**Security answer**

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## Details of the deceased

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

**Surname**

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**Forename(s)**

**Date of birth**

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**National Insurance number**

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If they did not have a National Insurance number, tick here

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**Permanent residential address of the deceased at date of death**

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**Postcode**

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**Date of death**

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**Date of marriage or civil partnership between the investor and the deceased**

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**Existing EdenTree Investment Management account number** (if applicable)

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Did not hold an EdenTree Investment Management ISA (please tick if appropriate)

## Investment split

I (the investor) wish to subscribe £  from my APS allowance in respect of the deceased and wish to make my subscription to the **EdenTree Investment Management APS ISA (a Stocks and Shares ISA)**.

**In cash.** Complete Payment Method section below.

**Re-registration of the existing holdings** from the deceased investor's EdenTree Investment Management ISA. (This option is only available if you have inherited the ISA assets and we have received the relevant documentation).

Where there is an existing ISA, I (the investor) wish to maintain the existing fund allocation (tick as appropriate)

OR

Fund	£	Minimum lump sum investment £1,000 per fund <b>Lump Sum</b>
EdenTree Sustainable European Equity Fund – Class A	£	<input type="text"/>
EdenTree Sustainable Global Equity Fund – Class A	£	<input type="text"/>
EdenTree Sustainable Sterling Bond Fund – Class A	£	<input type="text"/>
EdenTree Sustainable UK Equity Fund – Class A	£	<input type="text"/>
EdenTree Sustainable Managed Income Fund – Class A	£	<input type="text"/>
EdenTree Sustainable UK Equity Opportunities Fund – Class A	£	<input type="text"/>
<b>Total investment</b>	<b>£</b>	<input type="text"/>

Before you sign the form, please make sure you have read an up-to-date version of the Key Investor Information Document (KIID) and Sustainability Disclosure for each fund in which you want to invest. You should also read the Supplementary Information Document, Terms and Conditions and Prospectus. These important documents are available from our website [www.edentreeim.com/fund-literature](http://www.edentreeim.com/fund-literature)

## Payment method (if paying cash) (tick as appropriate)

Re-registration of the existing holdings from the deceased investor's EdenTree Investment Management ISA. (This option is only available if you have inherited the ISA assets and we have received the relevant documentation):

Pay in cash electronically to:

**EdenTree Investment Management – Dealing Account**

**Sort Code: 50-00-00    Account Number: 97126519**

Pay in cash by cheque:

Make cheque payable to **EdenTree Investment Management – Dealing Account**

If you wish to transfer monies electronically please quote the account reference, as stated on the contract note. Settlement is required four days after trade date.

If your initial investment is made electronically, your bank account details will need to be verified in advance of any payments being released for income or withdrawal. See below re bank verification.\*

\* In order to verify bank account details we will require either a voided cheque or a paying-in slip for the account

## Income instructions

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**Please tell us how you would like to manage your income** (tick as appropriate)  
(Income will be reinvested if no income payment option is selected)

I require my income to be paid out to me

I require my income to be reinvested into my ISA

If being paid out to you please nominate a bank account to which we will pay your income:

**Name of account holder**

**Account number**

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**Sort code**

**Roll No or Building Soc Ref**

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I would prefer to receive my income via cheque payment

Please note, if you are investing using a cheque from the same account, no further documents are required; if you wish your income to be paid to a different bank account then please provide a voided cheque or paying-in slip from that bank account, so that we may verify it.

These bank account details will also be used to deposit any redemption/sale proceeds.

Please note we are unable to make payments to third parties.

## Additional Permitted Subscription eligibility declaration

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This section must be completed to confirm the investor named on this application is eligible to make an additional permitted subscription to an ISA in respect of the deceased named on this application.

**I (the investor) declare that:**

- I am the surviving spouse/civil partner of the deceased.
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down).
- the subscription is made under the provisions of regulation 5DDA of the ISA regulations (additional permitted subscription).
- the subscription is being made
  - in the case of 'in specie' subscriptions, within 180 days of beneficial ownership passing to me (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, this is treated as occurring on either 6 April 2015, or, the actual date of distribution, which ever is the later), and
  - in the case of cash subscriptions, within 3 years of the date of death, or if later, 180 days of the completion of the administration of the estate (where the deceased died in the period beginning with 3 December 2014 and ending on 5 April 2015, the deceased is treated as dying on 6 April 2015).
- I am aged 18 years of age or over.
- All subscriptions made, and to be made, belong to me.
- I have received and read the Supplementary Information Document, Sustainability Disclosure(s) and the latest available Key Investor Information Document(s) for the fund(s) and share class(es) in which I am investing.
- I agree on a continuing basis, to EdenTree Investment Management Limited making use of the delivery versus payment exemption as described in the EdenTree Investment Management Limited ISA Terms and Conditions and the Prospectus. This provides a one-day window during which money received from an investor for the purchase of shares between trade date and settlement date is not treated as client money.
- I have read and understood the information relating to General Data Protection regulations.
- I agree to the EdenTree Investment Management Limited ISA Terms and Conditions.

**I (the investor) authorise EdenTree Investment Management Limited:**

- (i) To hold my cash subscription, ISA investments, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- (ii) To make on my behalf any claims to relief from tax in respect of ISA investments

**I declare that this application has been completed to the best of my knowledge and belief.**

**Please be aware that once a subscription to an APS allowance has been made, any future subscriptions under that APS allowance MUST be made to this ISA Manager (EdenTree Investment Management Limited) and be accompanied by a completed and signed APS application form.**

Signature

Date

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## Important information

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### 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).

## 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 you have not appointed a financial adviser you will be required to provide documentation to evidence identity and address, see attached listed of suitable documents.
- If you have appointed a financial adviser they will be required to provide confirmation of your identity for money laundering purposes.
- Please note that if these documents have not been provided, withdrawal payments and income will be withheld until verification documents have been provided.

## Investment advice and adviser/agent details

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Please use the tick boxes provided to indicate whether you have received advice from a financial adviser on this investment and provide their details.

### I have received advice from the following adviser

Company Name

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Address

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Postcode

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### I have not received advice from an adviser

## To be completed by your financial adviser/agent

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FCA Code

Contact Name

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Telephone

Email

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Please remember to include an Identity Verification Certificate (IVC)

**By submitting this application you are agreeing to the Edentree Terms of Business for Intermediaries. This can be downloaded from our website.**

**For help completing the form or 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**

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

**Support for financial advisers**

**Dealing and administration**

**0800 358 3010**

**Sales support**

**0800 011 3821**

**Or visit us at**

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



EdenTree Investment Management Limited (EdenTree)  
Reg. No. 2519319. Registered in England at Benefact House,  
2000, Pioneer Avenue, Gloucester Business Park,  
Brockworth, Gloucester, GL3 4AW, United Kingdom.  
EdenTree is authorised and regulated by the Financial Conduct  
Authority and is a member of the Investment Association.  
Firm Reference Number 527473.

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